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ABSTRACT

In a broad sense, this study is concerned with increasing the responsiveness of the federal government in improving the employment prospects of disadvantaged youth. In a narrower sense, it is concerned with increasing the effectiveness and the efficiency of local In-School Neighborhood Youth Corps (NYC) programs. This report had four specific objectives: (1) to provide a descriptive overview of the types of programmatic activities carried out by In-School NYC programs across the nation; (2) to investigate the factors causing variations in the successfulness of local In-School NYC programs; (3) to identify and describe various types of program-level and activity-level innovations that have originated at the local level in In-School NYC; and, (4) to develop a design for the establishment of a retrieval system for the regular reporting, analysis, and dissemination of information on locally-based innovations in In-School NYC. The primary sources of data for the fundings summarized in this Final Report are the nationwide census of all local In-School NYC programs and the in-depth interviews with the 31 selected local programs. A modular framework is developed to categorize and describe programmatic activities typically carried out by local In-School NYC programs. (Author/JM)

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# SURVEY AND ANALYSIS OF IN-SCHOOL NYC PROGRAMS

Final Report

Submitted to:

United States Department of Labor
Manpower Administration
Washington, D.C.

Submitted by:

Systems Research Incorporated
Lansing, Michigan

July, 1973

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# SURVEY AND ANALYSIS OF IN-SCHOOL NYC PROGRAMS

Final Report

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A modular framework is developed to categorize and describe programmatic activities typically carried out by local In-School NYC programs. Using this framework, a conceptual model is presented which illustrates how the various activities relate to the accomplishment of overall program goals. Selected innovative approaches and activities initiated by local NYC programs are presented and discussed, and a design for the regular reporting, analysis, and dissemination of information on locally based innovations is developed and recommended.

Primary sources of data for the study were (1) a nationwide mail-out census of all In-School NYC programs, and (2) in-depth on-site interviews with the staff of 31 programs determined to be highly innovative and/or successful.

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# CHAPTER I. INTRODUCTION AND PURPOSE

## A. Introduction

In a broad sense, this study is concerned with increasing the responsiveness of the federal government in improving the employment prospects of disadvantaged youth. In a narrower sense, it is concerned with increasing the effectiveness and the efficiency of local In-School Neighborhood Youth Corps programs. Conducted over a period of twelve months and based on a nationwide census of all In-School NYC programs, the study has produced, among others, this final report and a manual of "how-to-do-it" guides for local sponsors of youth manpower programs.[1] In our opinion, these two volumes can be of extreme value to federal, regional, and local decision-makers and to local program sponsors in designing and restructuring manpower programs addressing the needs of the disadvantaged, In-School youth.

The need for the present study stems basically from two interrelated sources. On the one hand, this study responds to a need to identify and describe effective and efficient approaches for resolving the employability-related problems of In-School youth. On the other, it provides answers to many policy and implementation questions currently being raised in relation to the changing role of the Manpower Administration in the delivery of youth manpower services. This section will be devoted to a discussion of these two issues.

### 1. A Need to Identify and Describe Alternative Approaches

Over the past several years increasing attention has been paid to the manpower-related problems of youth, especially through a variety of youth-oriented, federally-supported programs including Job Corps, Neighborhood Youth Corps, Vocational Work-Study, and the Federal Summer Employment Program for Youth. However due to the limited funding levels of these programs and a variety of unresolved programmatic and non-programmatic problems, the

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[1] See: Systems Research Incorporated, In-School Youth Manpower: A Guide to Local Strategies & Methods, National Technical Information Service, Springfield, Virginia, 1973.

manpower-related problems of youth are far from alleviated. This is clearly demonstrated by the following startling statistics:[2]

- In 1972 there were 24.2 million youth between the ages of 14 and 19. About 2.8 million of them, or 12%, were from poor families; nearly 2.8 million were black, and of these, 39% lived in poverty.
- 4.5 million 14 to 19 years old were not in school in 1971. Of these, 58% had not completed 12 years of education and 14% lived in poverty.
- The unemployment rate for youths aged 14 to 19 was more than double that for the total population in March 1971, at 13.7%. For black teenagers not in school, the unemployment rate was around 21%. For teenagers who had left school and had a background of poverty, the unemployment rate exceeded 24%.
- Among 14 to 17 years old, non-poor youth participated more fully in the labor market in 1971 than did poor youth, 26.5% as compared to 16.8%, and faced a less severe unemployment rate, 15.1% as compared to 26.4%. Poor blacks faced an unemployment rate of 38.5%, while the unemployment rate for non-poor blacks was 28.2% and for non-poor whites, 14.4%.

These figures do not imply that all manpower-related problems faced by disadvantaged youth are results of inefficiencies in youth manpower programs. They do suggest, however, that existing youth manpower programs, like NYC, are not reaching sufficient numbers of disadvantaged youth plagued by poor employability prospects. In addition, they also suggest that a critical examination of the underlying rationale and the day-to-day operation of these programs may yield new ideas which can potentially be helpful in restructuring, redesigning, or otherwise improving the overall effectiveness of youth manpower programs. It is this latter need, as it relates to In-School NYC, which is addressed by the present study.

The underlying rationale and the day-to-day operations of local In-School NYC programs have never before been investigated nationwide. There have been numerous attempts, usually with mixed and oftentimes inconsistent findings, to evaluate the effectiveness of In-School NYC: however, no studies have been undertaken to identify and document new, innovative, and

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[2]The statistics reported in this section are excerpted from: Federal Youth Programs - A Discussion Paper, Office of Planning, Research and Evaluation, Office of Economic Opportunity, December, 1972.

potentially replicable approaches generated at the local level. What's more, aside from innovations, there exists no information of a nationwide scope about what specific activities are "normally" carried out by local programs. What is needed, therefore, is not only to identify and document local innovations but also to catalogue and describe programmatic activities typically undertaken by local programs. The present study fulfills both of these needs.

2. Needs Stemming From the Changing Federal Role

In many respects the next few years are more than likely to be the years of transition. During this time period, the current administrative thrust of the Manpower Administration towards decentralization and decategorization of manpower programs, in the guise of Manpower Revenue Sharing, will probably take its yet unknown final shape and initiate a new era in youth manpower development.

When first proposed, MRS was designed to correct a generally agreed upon deficiency: an overlapping, duplicative, fragmentary manpower service delivery system. At the present time, MRS has taken the form of an administrative decentralization and decategorization strategy sustained to its maximum extent under existing legislation. Yet there are strong differences of opinion as to exactly what MRS is to mean.

Manpower experts both within and outside of the Manpower Administration are currently wrestling to reconcile the disparate legislative requirements of MDTA--occupational manpower training oriented legislation, and EOA-employability development related legislation. This legislative "mix" may quite possibly influence the direction of local programming. Potential prime sponsors--mayors, county officials, and governors--are increasingly concerned about their roles in the resolution of these and other issues and the "vagueness" of the means to resolve apparent differents of opinion.

Others are questionning the concepts of decentralization and decategorization, asking how far these policies should go. In essence the issue of decentralization is one of authority and responsibility. Who, for example, can best address the problems of the unemployed and underemployed? What should the role of prime sponsors be in the planning, management and evaluation of manpower programs and the manpower service delivery system?

What roles should the various levels of government play in delivering services and what should the relationships among the various levels be? How much authority should be granted to prime sponsors and on what basis--full authority initially or phased-in authority over a period of time?

Turning to decategorization, individuals intimately involved in manpower service delivery are debating the MRS language to safeguard the interests of special segments of the population, e.g., Indians, migrants, women, minorities. Should there be an attempt to safeguard these interests and if so, to what extent? What should the degree of client group participation in the manpower service delivery system be? In addition to these, numerous questions of a more technical nature have been and are being raised.

In the midst of the Federal push for administrative MRS, some influential members of Congress are seriously pursuing legislative manpower reforms. In the Senate, the proposed Nelson-Javits comprehensive manpower bill has the potential to provide the administration with sufficient tools to accomplish the basic concepts of revenue sharing and continue the Community Action Program. In the House, the recently introducted Daniels bill can extend MDTA beyond June 30, 1973, but limit the thrust of manpower revenue sharing. Passage of one or both bills will probably have serious implications for what is done at the local level and how it is done. Under such a circumstance, the Administration will have to face the dilemma of developing coherent policies for implementation.

Despite these debates, the overall rationale of MRS - to make categorical program guidelines more flexible to meet the unique needs of local areas, and, to the extent feasible, to place decision-making in the hands of the governmental unit closest to the citizen - has met with little resistance. Under this new posture, local units of government will be taking on direct responsibilities for the planning, funding, management and evaluation of manpower programs. For many, this will be the first time for involvement in experiences with such flexibility, control, and accountability.

The Manpower Administration--both at the Federal and regional level--will be called upon further to provide assistance to local units of government exercising new local responsibilities. In many instances, the

success of local sponsors and the quality of manpower services they provide will depend upon the extent to which the Manpower Administration can assist them in areas in which local program sponsors have little familiarity.

Responsiveness of the Manpower Administration to the T & TA needs of local areas will depend, largely, upon the availability, at the national and regional levels, of documents and materials which provide answers to questions such as the following:

- What alternative approaches to youth employability development may be adopted by local sponsors?
- What are the advantages and disadvantages of these approaches, and, if previously applied to other situations, how effective have they been?
- How can a local program implement any of the available alternative approaches? What are the "how-to-do-it" aspects of each approach?
- If a local program is to come out with a completely new approach, how can one judge if that approach has the potential to yield success?
- What are some of the frequently encountered problems of previous youth manpower programs, and how can one avoid their repetition?
- Are there any what might be called "ingredients of success" in youth manpower programs? If so, how do they relate to the day-to-day activities of a local program?

Since answers to these and similar other questions constitute the primary foci of this study, we believe that the Manpower Administration, as a result of this investigation, will have additional material that can be of significant value in its renewed "local capacity building" campaign.

To summarize, we believe that the commissioning of the present study by the Manpower Administration was extremely timely and appropriate. On the one hand, this investigation has resulted in the generation of information on locally-based programmatic innovations in a categorical youth program during, what might be, its final year of Federal administered operation. On the other hand, the study has produced a "how-to-do-it" manual and a host of other information which can assist the Manpower Administration in providing T & TA to the local areas during the coming "years of transition."

B. Purpose

Before listing the specific objectives of the present study, we would like to clarify two issues concerning the overall nature of this undertaking. First, we would like to emphasize that this is not an evaluation study. In other words, the study does not explicitly deal with estimating the overall effectiveness of In-School NYC programs. Even though one of the chapters of this report addresses problems of causality in NYC, no attempt has been made to assess the immediate outcomes and the probable long-term impacts of the In-School program. Therefore, rather than evaluative, the study should be viewed as an exploratory attempt to bring out and describe the unique, innovative and subtle aspects of the operation of In-School NYC at the local level.

The second point we would like to clarify concerns the focus of the study. Even though the RFP and the proposal upon which this study is based have defined the major focus of this investigation as the In-School NYC program, throughout the project conscious attempts were made to reach generalizations concerning all youth manpower programs. We believe that this slight change of emphasis has made the products developed during the course of the project more responsive to the current needs of the Manpower Administration. In light of the administrative thrust towards decategorization, regionalization, MRS, and local "capacity building," the outputs of the study in their present shape can be of more value to the Manpower Administration than had they been limited solely to In-School NYC.

With these two points in mind we now list the five specific objectives of the present study.

1. To design and develop a catalog of "how-to-do-it" guides on innovative and/or successful NYC In-School programs that are suitable for use by all local NYC program directors and by other agencies concerned with youth development.

2. To provide a descriptive overview of the types of programmatic activities carried out by In-School NYC programs across the nation.

3. To investigate the factors causing variations in the successfulness of local In-School NYC programs.

4. To identify and describe various types of program-level and activity-level innovations that have originated at the local level in In-School NYC.

5. To develop a design for the establishment of a retrieval system for the regular reporting, analysis, and dissemination of information on locally-based innovations in In-School NYC.

The last four of these objectives are addressed by the four main chapters of this final report. The "how-to-do-it" manual, which represents, along with this final report, the two major outputs of the study, addresses the first listed objective.[3]

The five objectives listed above include the three original objectives of the study (Objectives 1, 3, and 5) as well as the two which were added during implementation. The primary reason for the expansion of the original objectives is due to the revision of the initial study design. Whereas, at the proposal stage, it was believed that sufficient information on innovative local programs was available at the Regional Offices of the Manpower Administration, during implementation it became clear that selection of the local programs for in-depth analysis could not be reliably accomplished with the then available information at the regional level. In light of this difficulty the alternative chosen was to conduct a nationwide mail-out census of all In-School programs in order to generate data on program and activity-level innovations and relative successfulness of local programs. Of the 792 local programs surveyed, 701 responded to the questionnaire, yielding a response rate of 88.5%. Selection of the relatively successful and/or innovative local programs for in-depth analysis was done, therefore, on the basis of the responses to the nationwide survey.

In addition to accomplishing its main purpose of generating a data base for reliable identification and selection of successful and innovative local programs, the survey also yielded a host of other information on operation of NYC at the local level. The two additional objectives, Objectives 2 and 4, are directed towards analysis and reporting of these additional data.

The primary sources of data for the findings summarized in this Final Report, therefore, are the nationwide census of all local In-School NYC

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[3]See Footnote 1.

programs and the in-depth interviews with the 31 selected local programs. Conversations and interviews with the National and Regional office staff have also yielded information and contributed to the interpretation of data collected from the two primary sources.

C. Organization of the Report

The remainder of this Final Report is organized as follows. In Chapter II we present an overview of the types of programmatic activities carried out by In-School NYC programs across the country. This is accomplished in terms of a "modular" framework which is constructed in order to categorize and classify activities typically carried out by local programs. This discussion is followed by the presentation, in Chapter III, of a conceptual model which illustrates how various activities NYC programs carry out relate to the accomplishment of the overall goals of the In-School program. In Chapter IV we focus our attention on innovations as they are occurring at the local level in In-School NYC. Following a brief discussion of the concept of "innovativeness," this chapter presents our findings with respect to program-level and module-level innovations in NYC. Continuous retrieval of information on these and similar innovations is the topic of Chapter V. In this chapter we present three alternative designs for retrieving information on local-level innovations. One of these three designs is selected and recommended for installation by the Manpower Administration. Towards the end of this chapter we also discuss installation and implementation related aspects of the recommended design. Finally, in Chapter VI we present out conclusions and recommendations based on our previously reported findings.

Before concluding this chapter we should note that the contents of this Final Report are organized so as to address the last four of the five primary objectives of the study, the first objective being treated under a separate volume.[4] Other reports and working papers developed during the course of the project include:

- a glossary of NYC related definitions and terms
- a working paper on summaries of approximately 75 NYC-related documents and research studies

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[4]See Footnote 1.

- a methodological report on the identification of most successful and innovative local programs
- a report on analysis of findings from the nationwide survey
- instruments, interview guides and instruction booklets on validation, coding, keypunching and analysis
- a Phase I Report, a Phase II Report, and a series of monthly Progress Reports.

For purposes of brevity we have not included any of these other reports and working papers in this Final Report.

## CHAPTER II. IN-SCHOOL NYC...A DESCRIPTIVE PROFILE

### A. Introduction

The purpose of this chapter is to provide an overview of the types of programmatic activities carried out by In-School NYC programs across the nation. Such a descriptive profile of In-School NYC programmatic activities is needed for three reasons. First, information about the programmatic aspects of local programs has not, heretofore, been collected. Currently available information focuses primarily on fiscal matters. Therefore this descriptive profile provides the first nation-wide look at the operation of In-School NYC at the local level. Secondly, a description of the types of activities typically undertaken by NYC programs is essential to a better identification and assessment of "atypical" innovations occurring at the local level. Finally, identification and description of current strengths and weaknesses of local programs may point out areas where policy guidance and technical assistance are needed from the Regional and National offices.

The descriptive profile of In-School programs drawn in this chapter is based on two primary data sources. All the numeric data reported comes from our analysis of the nationwide survey of local In-School programs conducted in the Fall of 1972. This has been supplemented with qualitative information generated during our in-depth interviews with 31 local programs selected on the basis of their high degree of innovativeness and/or successfulness. Even though these two surveys comprise the main sources of data, numerous discussions with the staff of the National and Regional offices of the Manpower Administration has also contributed to the accurate portrayal of local In-School program activities.

One particular difficulty faced during the analysis of data generated through the field interviews is worth mentioning here. As indicated earlier, these 31 programs represent, in our view, the "cream of the crop" in In-School NYC. Therefore, programmatic information describing the activities of these particular programs cannot be expected to be generalizable to all local In-School projects. Confronted with an issue of "representativeness,"

we have made a special attempt to generalize from only the recurrent difficulties faced by these 31 programs. This is based on the assumption, on our part, that recurrent programmatic difficulties confronted by the most successful and innovative programs would occur, probably at a more severe level, in an "average" program. Non-numeric generalizations made in the following sections should, therefore, be interpreted with this assumption in mind.

The remaining sections of this chapter are organized as follows. In Section B we present a "modular" framework which has been constructed in order to categorize and clarify programmatic activities carried out by In-School programs. Section C is devoted to a brief discussion of the responses of local program directors to survey questions concerning the goals of In-School NYC. This is followed, in Section D, by a detailed portrayal of module-level activities typically carried out by local programs. Finally, in Section E, we present our conclusions based on the findings of the previous sections of the chapter.

## B. A Modular Breakdown of In-School NYC

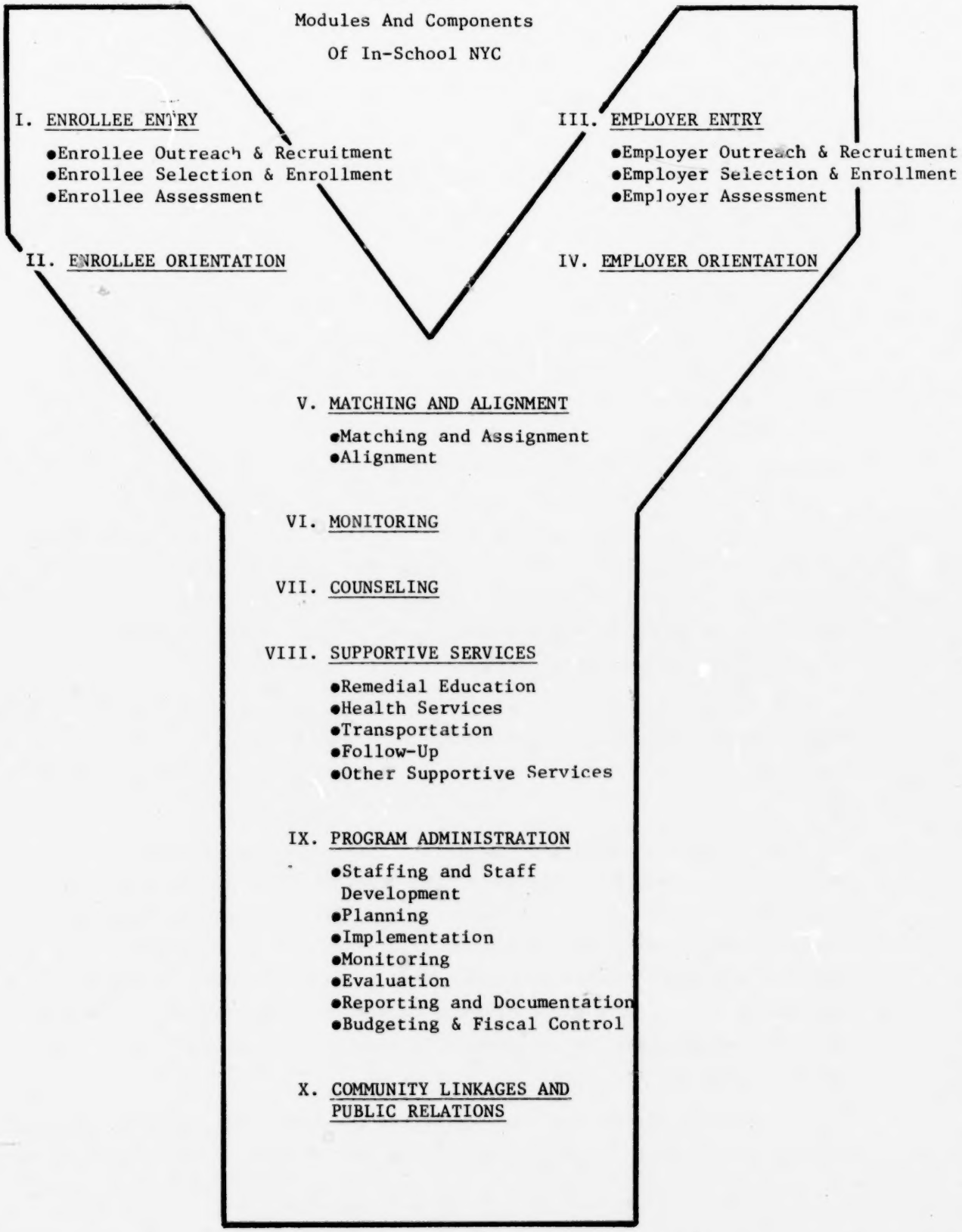
Description of programmatic activities in In-School NYC requires, first of all, a categorization of such activities into a set of modules reflecting different activities generally undertaken by a local program. After reviewing all previous attempts to break the In-School program into a set of functional groups and after intensive deliberations among the members of the SRI Project Team, we arrived at a classificatory scheme which partitions In-School NYC activities into ten modules. Some of these ten modules were, in turn, broken into several components. A representation of the ten modules and their respective components is illustrated in Figure 1.

Before going into a discussion of the ten modules, it is important to note the key criteria which were considered in the finalization of the modular breakdown. First, it was agreed that the modular breakdown should exhaust all major activities typically undertaken by local In-School programs. Second, it was felt that, in order to prevent duplication and increase clarity, the activities covered by each module should be as independent

FIGURE 1.

Modules And Components

Of In-School NYC



as possible from the activities covered by another module. Third, it was agreed that the modular breakdown should provide an accurate representation of the actual sequencing of programmatic activities undertaken by most local programs.

We believe that the modular breakdown generated in this study meets these three criteria. Even though the last two modules, Program Administration and Community Linkages and Public Relations, include some activities that are common to the previous eight, this duplication, in our view, can be justified on grounds of providing an accurate portrayal of the actual operating environment of a local program. Furthermore, some of the activities within Program Administration, such as planning, implementation, monitoring, and evaluation, require an overall coordinative effort at the program level, even though they relate to each of the other nine modules. To give an example, although the planning, implementation, monitoring and evaluation of, say, Enrollee Entry and Employer Entry activities are and should be covered separately within these two modules, coordination of these two distinct planning activities need to be undertaken at the program level. In a sense, therefore, Program Administration reinforces, and minimizes the inconsistencies between, module-level planning, implementation, monitoring and evaluation activities.

In the remaining portion of this section we will present a brief overview of this Y-shaped modular breakdown. More detailed definitions and descriptions of activities covered by each module will be given in Section D.

The first four modules are concerned with securing the proper participation of enrollees and employers in the program. Enrollee Entry and Enrollee Orientation, on the one hand, and Employer Entry and Employer Orientation, on the other, are treated as parallel activities undertaken prior to job-assignment. The fifth module, Matching and Alignment, involves establishing the suitable co-involvement of enrollee and employer to determine mutually satisfactory job assignments to develop the enrollee's job-related skills, arts, and behaviors.

Counseling, Monitoring, and Supportive Services cover on-going, enrollee-related activities. Counseling activities are designed to assist each enrollee

understand his/her abilities, needs, and potential, especially as they relate to school and the world of work. Monitoring relates to on-going activities designed to assess the fulfillment of commitments previously made by program staff, enrollee, work supervisor, and cooperating agency personnel. Supportive Services, the last module in this three-module group, refers to those forms of assistance provided or arranged by the program to meet the particular needs of each enrollee.

The final two modules, Program Administration and Community Linkages and Public Relations, reflect on-going, program-level functions within In-School NYC. Activities in these two modules begin prior to enrollee and employer participation and continue throughout the program year. While Program Administration, in the main, is concerned with proper planning, implementation, monitoring, and evaluation of activities covered by all ten modules, Community Linkages and Public Relations covers all activities designed to ensure full utilization of all available community resources.

The modular breakdown outlined above constitutes the framework utilized in drawing a descriptive profile of programmatic activities of In-School NYC programs. This will be accomplished following a digression, in the next section, to summarize the responses of local program directors to survey questions concerning the goals of In-School NYC.

C. Goal Achievement In In-School NYC

Since its inception, In-School Neighborhood Youth Corps has attempted to deal with two recurrent youth related problems. These problems include first, the relatively high drop-out rate of high school students from disadvantaged backgrounds, and second, the traditionally poor employment prospects of youth from disadvantaged backgrounds. Accordingly, the program has placed its primary emphasis on the accomplishment of the following two objectives: encouraging disadvantaged youth to complete their high school training; and, increasing the potential employability of disadvantaged youth.

Survey questions concerning goal achievement were designed in light of these two primary objectives of In-School NYC. To be sure, the census was not intended to assess whether or not these two goals were in fact achieved. Rather, the census sought responses from In-School program directors concerning

their perceptions of whether or not their own program has achieved either or both of these two goals. We shall summarize our findings under the headings of goal achievement, drop-outs, and employability.

1. Goal Achievement

Local program directors were asked to indicate, out of a list of six alternatives, the two programmatic goals which best described the achievements of their respective programs during the 1971-72 school year. The alternatives included the following points of emphasis:

- Providing alternatives to delinquency
- Increasing potential employability
- Providing motivational reinforcement
- Providing additional income
- Encouraging high school completion
- Assisting social adjustment

Three out of ten of the local program directors indicated that encouraging high school completion and increasing potential employability best reflected the achievements of their programs. Nearly one-fifth of the program directors chose a combination of encouraging high school completion and providing additional income. About 15% of the program directors indicated that encouraging high school completion and assisting social adjustment best reflected their programmatic achievements. Less than 10% of the program directors chose each of the other goal combinations.

In summary, only 30% of the local program directors surveyed indicated that increasing potential employability and encouraging high-school completion were the two major accomplishments of their programs during the 1971-72 school year.

2. Drop-Outs

Perceived program achievements were further explored in questions concerning drop-outs and employability. "Drop-outs" were defined for the purposes of this study as "those youth who were enrolled in In-School NYC programs at the beginning of the 1971-72 school year, and who were subsequently terminated because they dropped out of school."

When asked to specify how many of the youth, enrolled at the beginning of the 1971-72 school year, were dropped from the In-School program because they discontinued their education, 701 program directors reported that 2,816 youth were terminated. Based on the reported 79,447 youth enrolled in the program, the school drop-out rate for In-School NYC enrollees was then, 3.6%.

When asked to compare the school drop-out rate of In-School NYC enrollees with that of similar disadvantaged youth in their respective community schools not enrolled in In-School NYC, most (93%) of the reporting directors indicated that the In-School NYC school drop-out rate was the lower of the two. Four percent

(4%) of the directors considered the two rates as equal, while only 2% felt that the school drop-out rate for In-School NYC enrollees was higher than that for similar disadvantaged youth not enrolled in In-School NYC.

3. Employability

The final survey question in the area of goal achievement concerned employability. When local In-School NYC program directors were asked whether they agreed that In-School NYC participation improves the chances of a young person getting and keeping a job after leaving the program, 96.6% agreed. A few directors (2.9%) were not sure while only .6% (or 4 out of 701 program directors) disagreed.

These survey responses when supplemented with the data generated from the in-depth interviews indicate that almost all local In-School NYC program directors believe that their programs are having marked effects on their enrollees in terms of encouraging them to complete high school and increasing their potential for employability. With respect to drop-outs, the data reported seems to bear out their beliefs. With respect to employability, however, most program directors interviewed had no empirical data to substantiate the claim that NYC improves potential employability of their enrollees.

## D. A Portrait of Module-Level Activities

In this section we provide a summary description of programmatic activities of local In-School programs based on the results of the nationwide survey and the in-depth interviews. The modular breakdown presented in Section B will provide the framework for this description. Summarization of the survey and interview findings under each module will be preceded by a definition of the activities covered by that module.

### 1. Enrollee Entry

Activities under this module refer to these performed by the staff of local In-School programs to bring eligible youth into the program and to assess their abilities and interests. Three major program components, Enrollee Outreach and Recruitment, Enrollee Selection and Enrollment, and Enrollee Assessment, fall within the boundaries of this module.

Activities covered by Enrollee Outreach and Recruitment refer to those which encompass all efforts to identify, inform, and attract eligible youth

to apply for participation in In-School NYC. Under Enrollee Selection and Enrollment are those activities necessary to 1) determine the eligibility of the applicants, 2) choose from the eligible applicants those youth with the greatest personal and economic need for the project, and, 3) complete any clerical procedures required to initiate full participation of those selected in the NYC program. Finally, Enrollee Assessment relates to those activities designed to determine an individual enrollee's employment related abilities, personal circumstances, and vocational interests.

Survey and interview findings regarding these three program components can be summarized as follows:

- Enrollee Outreach and Recruitment
  - When asked to estimate the number of disadvantaged youth going to school in their respective service areas who would have been eligible for In-School NYC participation during the 1971-72 school year, the 701 responding local directors reported 903,622 such youth.
  - When asked to indicate the total number of applicants to their programs during the same period, the same local directors reported a total of 290,577 applicants.
  - Based on these two figures it appears that one-third of the reported eligible youth have made formal applications for participation in In-School NYC.
  - Given a total of 79,447 youth were reported to be enrolled in the program, in the Fall of 1971, 27% of all applicants and only 9% of the total estimated eligible youth were actually served by the program during the 1971-72 school year.
- Enrollee Selection and Enrollment
  - Local directors were given a list of fourteen alternatives and asked to choose the seven criteria which they felt to be most important in the final selection of enrollees. Each criterion and the percentage of programs which choose it are listed below.[5]

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[5]The seven checked criteria are those prescribed for selection of In-School NYC enrollees in The Neighborhood Youth Corps Program Manual, U.S. Department of Labor, Manpower Administration, Washington, D.C., July 1966.

| | | |
|---|---|---|
| X | Potential Drop-Outs | (95%) |
| _____ | Severely disadvantaged with average academic performance | (79%) |
| X | Poor school attendance | (74%) |
| X | Lack of motivation | (72%) |
| X | Less than average school achievement | (59%) |
| X | Emotional or attitudinal problems requiring personal adjustment assistance | (57%) |
| _____ | Social adjustment problems interfering with employment | (52%) |
| _____ | Improper Attitude to work in general | (50%) |
| X | Frequent disciplinary problems | (45%) |
| _____ | Unskilled or underemployed | (44%) |
| X | Language deficiencies | (15%) |
| _____ | Rejectees from other training programs | (3%) |
| _____ | Selective Service rejectees | (.1%) |

- As indicated by the choice of "severely disadvantaged with average academic performance" by 79% of the 701 programs and as further observed during the field work, there exists widespread "creaming" in the selection process. Rather than looking at NYC as a program which is to serve the most needy youth, many local programs are viewing it as a vehicle for rewarding the disadvantaged, but academically successful youth.

• Enrollee Assessment

- When asked whether they assessed the needs, abilities and interests of their enrollees, local In-School NYC directors, reported as follows:

  * 15% of the directors reported that they used no assessment methods

  * 59% reported using only informal assessment methods.

  * 24% of the directors indicated they used a combination of formal and informal enrollee assessment methods.

  * Only 2% of the directors reported that they used primarily formal assessment methods.

- Local directors were also asked if assessment information was ever compiled into an individualized school/work plan for each enrollee. A school/work plan, for the purposes of the survey, was defined as a written schedule, based on an individual enrollee's assessment, that details the school and work hours, workmanship training, remedial education, counseling, transportation, health and other supportive services to be provided or arranged by NYC.

  * 20% of the directors indicated that they did not develop school/work plans, but they were aware of the needs of some enrollees.

  * 58% of the directors responded that they did not develop school/work plans, but they were aware of the needs of each enrollee.

  * 22% of the programs indicated that they developed written school/work plans for some of their enrollees. Roughly half of these, or 10% of all programs, indicated that written school/work plans were developed for each enrollee.

To summarize the status of the programmatic activities within Enrollee Entry:

- it appears that In-School NYC enrollment accounts for only 9% of all eligible youth;

- the "income criteria" seems to be the major criterion used in selecting the enrollees, otherwise selection is based on a "first come first serve" based, with some "creaming" of disadvantaged youth;

- assessment of the abilities, interests, goals, and personal circumstances of the enrollees is done, in the main, through unsystematic informal methods.

2. Enrollee Orientation

Enrollee Orientation encompasses all activities concerned with 1) introducing the NYC staff to the enrollees and describing the In-School NYC program, 2) explaining the administrative aspects of the local program, and, 3) establishing mutual commitments to the objectives and procedures of the program by the staff and the enrollee. Whether it is conducted within a group or individual setting, orientation can help the enrollees start with the "right" footing. They are familiarized with not only what they are expected to do, but also what they can expect from the NYC program staff and the prospective work supervisors. Orientation can also serve as a first exercise for the enrollees in making and keeping commitments.

The following are the salient points of our findings concerning Enrollee Orientation:

- When asked how much time an average enrollee spends in planned orientation activities prior to job assignment, local In-School NYC directors responded as follows:
  - In 15% of the programs no planned orientation were held.
  - 48% of the programs held an average of one hour of orientation per enrollee.
  - 28% of the programs indicated they held two hours of orientation per enrollee.
  - Only 10% of the In-School programs reported having held three or more hours of planned orientation activities for an average enrollee.
- The decision to use group or individual sessions is generally made on the basis of logistics factors rather than the perceived difference in the effectiveness of the two methods.
- Large programs, in general, are more likely to hold planned and formalized orientation sessions than small programs.

3. Employer Entry

Activities performed by the staff of local In-School programs in the Employer Entry module aim at provision of "meaningful" work experience to the enrollees through proper identification and selection of employers. In parallel lines to the Enrollee Entry module, the following three components are identified within Employer Entry: Employer Outreach and Recruitment, Employer Selection and Enrollment, and Employer Assessment.

Employer Outreach and Recruitment covers those activities which encompass all efforts to identify, inform, and attract potential employers to participate in the In-School program. Activities within Employer Selection and Enrollment include 1) determination of the eligibility of employers, 2) identification of potential job placements offered by each eligible employer, 3) determination of the suitability of each eligible employer in light of the goals and objectives of the In-School program, and 4) receiving the formal intent of the suitable employers to participate in the program. Finally, Employer Assessment refers to those activities 1) aimed at the development of job-specifications for each job-slot identified, and, 2) designed to ensure that an enrollee's placement in the job would not conflict with any legal requirements.

The parallel between the components of Enrollee Entry and Employer Entry is by design rather than by chance. The modular framework presented earlier places as much emphasis on the identification, selection, orientation and assessment of employers as on the entry of the enrollees. This is predicated upon our conviction that "meaningfulness" of the work experience gained by the enrollees depends largely on whether or not NYC has been able to match the abilities, interests, and vocational goals of an enrollee with an appropriate job slot. Without a successful match, it is doubtful if the NYC experience of the enrollees can make marked improvements in their potential employability.

We now turn to a summary of the survey and interview findings concerning the status of activities within Employer Entry.

- Employer Outreach and Recruitment
  - In order to obtain a measure of the efforts made by local program staff to recruit employers to the program, the respondents were asked to indicate the number of employers who offered to provide at least one job-slot for an In-School enrollee. Responses from 701 local programs indicated that 47,322 employers offered at least one job-slot during the 1971-72 school year.
  - Respondents were further asked to indicate the number of employers whose job-slot offers were accepted. Our tabulations indicated that offers of 31,229 of the 47,322 employers were accepted, yielding an "employer utilization rate" of 66%. It should be pointed out that this rate is based on number of employers rather than job-slots.
  - It became clear during the in-depth interviews that local programs utilized the same employers every year. Many of these employers were also the same ones used in the Summer NYC program.

- Employer Selection and Enrollment
  - 53% of the 31,229 employers participating in In-School NYC were elementary or secondary schools; 35% were federal, state, county, or local government agencies; and, 10% were non-profit organizations.
  - In the survey, local NYC directors were asked to indicate the five most frequent types of jobs to which enrollees were assigned during the 1971-72 school year. Based on their responses, job titles of NYC enrollees can be summarized as follows:
    - * Clerical and office aides (30%)
    - * Custodial, maintenance, and janitorial aides (29%)

* Educational, library and museum aides (22%)
* Park and recreation aides (6%)
* Food service aides (5%)
* Other job titles (9%)

- Employer Assessment
  - Respondents were also asked whether, during the 1971-72 school year, they developed a job specification for each job identified. For the purposes of this study a job specification was defined as "a written document identifying, describing, and defining the specific requirements of a given job by detailing, among others, the following qualifications of an enrollee: 1) education, 2) skills and abilities, 3) personal qualities and interests, 4) physical, mental, and visual health, 5) equipment and material handling capabilities and adaptability to working conditions."
    * 60% of the programs indicated that although they did not develop written job specifications, they were generally aware of the requirements of each job.
    * 14% of the directors indicated that although they did not develop written job specifications, they were aware of the specific requirements of some, but not all, jobs.
    * Only 26% of the programs reported that written job specifications were developed for most of the jobs their enrollees were assigned to.

In summary, the above description of the activities typically undertaken within the Employer Entry module point out to the following:

- A majority of the employers used in In-School NYC were schools and school systems.
- Approximately 80% of the job titles held by the enrollees fell into custodial, maintenance, janitorial, clerical, library, and museum aide categories.
- Outreach and recruitment of employers is carried out rather unsystematically; since most employers have been participating in the program over a period of years, enrollment is not regarded as a key activity.
- Assessment of employers and the requirements of the job-slots they offer is carried out, if at all, largely in an informal manner.

Before going into the following module, it is significant to note a similarity in responses to questions regarding Employer and Enrollee Assessment activities. Whereas 22% of the programs surveyed indicated that they

have developed written school/work plans for some of their enrollees, 26% of all programs reported that written job specifications have been developed for some job-slots. Since there is a high likelihood that the 22% and the 26% cover, mostly, the same programs, it appears that roughly one-fourth of the In-School programs are making a conscious and planned effort to match the abilities, interests, and vocational goals of their enrollees with job-slots requiring these abilities, interests, and vocational goals.

4. Employer Orientation

Employer Orientation covers all activities related to 1) introducing the NYC staff to the prospective employers and work-site supervisors and describing the In-School program, 2) explaining the administrative aspects of the local program, 3) establishing mutual commitments to the objectives and procedures of the program by the staff, the enrollees and the work-site supervisors. A properly planned and implemented employer orientation may help avoid many potential problems. Establishment of mutual commitments clarifies roles and responsibilities. Furthermore, through individual or group orientation sessions, the NYC staff can familiarize the work-site supervisors with the alternative ways in which the work-site supervisors can motivate the enrollees to complete their high school education. Since the work-site supervisors are the only people with day-to-day contact with the enrollees within a work environment, their effects on the future employability of NYC enrollees can not be underestimated.

The following points summarize the salient aspects of our survey findings concerning Employer Orientation:

- When asked how much time an average work supervisor spent in planned orientation activities prior to job assignment, local program directors reported as follows:
  - Nearly one out of five (19%) of the program directors reported holding no planned employer orientation.
  - 48% of the programs indicated they held one hour of employer orientation.
  - Two hours of orientation were held by 22% of the programs.
  - One out of ten (11%) of the directors reported holding three or more hours of planned employer orientation activities.

- Most of the local programs visited indicated that in general they preferred conducting employer orientation on an individual rather than group basis. Group orientation was preferred in instances where several work-site supervisors were centrally located at one site.

- Individual orientation was usually conducted by the program directors or the counselor assigned to the enrollee.

- Orientation was generally informal in nature though some work supervisors are given a written document specifying program guidelines and work supervisor responsibilities.

- Since many employers have been participating in NYC over several years, orienting the same work-site supervisors year after year was considered unnecessary in programs with a history of two or more years.

5. Matching and Alignment

Activities within this module aim at the accomplishment of an appropriate match of the enrollees with the available job-slots, and, following this, carrying out an "alignment" function to further develop the job-related skills of the enrollees in light of the requirements of the job to which they have been assigned. The two components of this module are entitled "Matching and Assignment" and "Alignment."

Matching and Assignment refers to those central activities requiring the review of individual enrollee assessments in light of employer and job-slot assessments in order to arrive at the most suitable and mutually satisfactory job assignment for each enrollee and the work-site supervisor. Alignment, which is viewed here within a "workmanship training" context, refers to those training activities designed for the enrollee to develop the arts, skills, and behaviors required to carry out his/her job responsibilities.

Obviously, the success a local program can achieve in Matching and Alignment depends, to a large degree, on whether proper employer and enrollee assessments have been carried out prior to job assignment. As evidenced by our previous remarks, roughly three-fourths of all In-School programs have indicated that they have carried out no systematic employer and/or enrollee assessments. Activities included in this category, therefore, make more sense for those programs which have previously conducted comprehensive assessments of their enrollees and employers.

The following paragraphs summarize our findings concerning the status of Matching and Alignment activities at the local program level.

- Matching and Assignment
  - In order to obtain a measure of unsuccessful job assignments, local program directors were asked to indicate what proportion of their enrollees worked in more than one job-slot during the 1971-72 school year.
    * 47% of the programs reported that 5% or less of their enrollees were transferred from one job to another during 1971-72.
    * In 23% of the programs 6%-10% of the enrollees worked in more than one job.
    * 21% of the programs indicated that 11%-25% of the enrollees were transferred.
    * Finally, only 9% of the programs reported that 26% or more of their enrollees transferred from one job placement to another during the 1971-72 school year.
  - Respondents were then asked to indicate the most frequent reasons for job transfers.
    * Of those programs reporting transfers, 63% indicated that unsuccessful assignment was the most frequent reason for enrollee transfers.
    * Nearly one-quarter (23%) of the programs reported that the most frequent reason for enrollee job transfers was a combination of unsuccessful assignment and increased enrollee job exposure.
    * Increased job exposure was the most frequent reason for enrollee job transfers in 14% of the programs.
- Alignment
  - When asked to indicate the number of enrollees that needed and the number that actually received job-related workmanship training during the 1971-72 school year, local program directors responded as follows:
    * One-third of the directors indicated that none of their enrollees needed or received workmanship training.
    * In the remaining two-thirds of the local programs 21,926 enrollees (or 28% of all enrollees) were reported to need such training.
    * The number of enrollees who actually received workmanship training amounted to 13,150 enrollees, or 17% of all enrollees. Thus, over one-half of all enrollees reported as needing workmanship training services actually received such training.

- During in-depth interviews with relatively successful and innovative programs it became evident that, partly due to a widespread lack of employer and enrollee assessments, many programs made no systematic and regular plans for workmanship training. Whenever a lack was felt, workmanship training was usually left up to the work-site supervisors.

The fact that relatively little emphasis is placed on workmanship raining came as no surprise to us. Since the skill requirements of the jobs to which enrollees are assigned play the major part in determining workmanship training needs and since a great majority of the enrollees were assigned to jobs requiring little or no previous skills, it was expected, as we later found out, that workmanship training would be offered only in a small proportion of all local programs.

6. Monitoring

Monitoring refers to a set of activities designed to 1) assess on an ongoing basis whether the commitments made by NYC staff, enrollees, employers, and cooperating agencies were fulfilled or not, and, 2) take corrective action, whenever necessary, to the mutual satisfaction of all parties. Effective monitoring should eliminate crises either by diagnosing problems before they become problems or by resolving them as soon as they are identified. Furthermore, monitoring is the process which reinforces successful maintenance of the commitments made by all related individuals and agencies. It provides valuable data inputs to Counseling and Supportive Services modules and it can result in better planning and management of the program through regular documentation of information on ongoing activities.

The following is a summary of our findings concerning Monitoring:

- Local NYC program directors were asked whether each enrollee's progress was formally reviewed at regular intervals during the 1971-72 school year. 92% of the programs responding to the question reported holding regular progress review meetings.
  - 52% of the programs indicated they held formal program reviews once a month.
  - 23% of the programs held these meetings quarterly; 14% held them twice a year.
  - 2% of the programs indicated they held progress reviews once a year; 9% held no formal enrollee progress reviews.

- When asked who were present at these progress reviews, of those programs which reported holding formal progress reviews, eight out of ten indicated that the work-site supervisor (employer) was usually present. 56% of the programs reported that the enrollee was usually present. In 46% of the programs a counselor was reported to be usually present. Teachers and parents were reported to be present in formal enrollee progress reviews in 6% and 3% of the programs, respectively.

- Monitoring sessions generally focused on difficulties the enrollee was facing in performing his job and on any irregularities in time reporting or other documentation.

- Work supervisors often filled out periodic evaluation forms indicating their assessment of the enrollee's progress. In only a few programs the enrollees evaluated, on a periodic basis, their own work supervisor and the job they were assigned to.

7. Counseling

Counseling is a continual process, using an individual and/or group approach, designed to 1) help each enrollee understand his/her potential and interests, especially as they might relate to the world of work; 2) assist each enrollee in coping with the day-to-day problems of the work environment; and, 3) work with each enrollee in clarifying his/her vocational goals and in planning his/her vocational future. Effective counseling activities assist enrollees in gaining more realistic perceptions of themselves, their abilities, needs, and potential; increase enrollees' personal problem-solving skills and their ability to interact successfully with others, and heighten enrollees' awareness of personal and vocational goals.

Survey and interview findings concerning counseling activities of local In-School programs can be summarized as follows:

- Over 99% of the 701 programs surveyed reported that they provided counseling services to their enrollees.

- When asked to indicate the average number of hours per month a typical enrollee participated in individual and/or group counseling during the 1971-72 school year, local program directors responded in the following manner:

  - About one-third (32%) of the programs indicated that they provided an average of one hour of counseling for each enrollee per month.

- Another one-third (31%) provided two hours of counseling.
- One out of four (27%) provided three or four hours.
- One out of ten programs reported providing an average of five or more hours of counseling per month for each enrollee.

- Most counseling is conducted in an informal manner, often at the work-site or when the enrollee "drops-in" at the program office.
- Counseling usually focuses on enrollee progress. It centers on academic and job-related problems confronting the enrollee rather than on personal or social issues.
- While most programs recognize the importance of counseling, these activities are generally not planned, implemented, monitored, evaluated or documented in any systematic way.

8. Supportive Services

The Supportive Services module refers to those activities performed by the staff of local In-School NYC programs to provide or arrange assistance for the enrollee for individual problems which may have interfered with his performance in the program. These individual problems may have been identified through initial assessment or through ongoing counseling. Five specific service components are covered by this module: Remedial Education, Health, Transportation, Follow-Up, and Other Supportive Services.

Remedial Education was defined for the purposes of this study as "those activities designed to assist an enrollee, if necessary, to perform at least at a minimum level of academic achievement to remain in school." The Health component includes those diagnostic and treatment services arranged for enrollees, whenever necessary, to identify and correct physical, mental and dental deficiencies, especially as they related to academic and job performance. Transportation covers services arranged for the enrollees, whenever necessary, to ensure safe and reasonably convenient mobility between work-site, school and/or home. Follow-Up refers to those activities undertaken or services arranged by the NYC staff to assist former enrollees in pursuing their personal and career goals. Finally, the Other Supportive Services component includes other forms of assistance arranged by the NYC program, in addition to remedial education, transportation, health services, and follow-up, which focus on

the particular needs of individual enrollees to enable them to maintain themselves in the program.

Direct provision or management of the supportive services needed by an enrollee can ensure successful participation in the program through improved academic and job performance. It can also improve enrollees' chances to achieve their personal and career goals by reducing the obstacles to full participation in the system. In some instances provision of supportive services may result in indirect benefits to the enrollee's family, especially if these services would, otherwise, have to be provided by the family.

The following is a summary of our survey and interview findings concerning each of the five components within Supportive Services:

- Remedial Education
  - When asked if any of their enrollees needed remedial education, 29% of the local program directors indicated that none of their enrollees needed remediation.
  - In the remaining 71% of all programs, 18,570 enrollees were reported as needing remedial education. This amounts to 23% of all enrollees.
  - 54% of those assessed as needing remedial education actually received such services. Thus, 14% of all In-School NYC enrollees received remedial education services during the 1971-72 school year.
  - 69% of the programs which provided remedial education services to their enrollees indicated that most or all of these enrollees would have received remedial education anyway, i.e., if they had not been enrolled in In-School NYC.
  - In most instances remedial education was provided the enrollees through arrangements with the school system.
  - In some programs tutors from the community and other enrollees were utilized to provide remedial education to needy enrollees.
- Health Services
  - With respect to <u>health examinations</u>, local program directors were asked the number, type, and source of funding of health examinations provided or arranged for the enrollees during the 1971-72 school year.
    * It was found that 61% of all enrollees received health examinations.

* About one-half of these were complete examinations, the other half were partial.

* NYC funds were used to pay for 36% of all examinations; employers paid for 12%, schools and other community agencies paid for the remaining 52%.

- With respect to <u>treatments</u>, local programs were asked if they felt they were being successful in providing or arranging treatment services whenever needed.

  * 53% of the programs reported that when health related needs of individual enrollees were identified their programs were successful in providing or arranging for treatment in most instances.

  * 47% of the programs indicated that their programs were successful in providing or arranging for treatment only in few instances.

• Transportation

- Local directors were asked if their programs provided or arranged for transportation services for those enrollees assessed as requiring transportation services during the 1971-72 school year. In addition they were asked to specify the number of enrollees who received transportation services and the number requiring transportation for whom they were <u>unable</u> to provide or arrange such services.

  * Three out of four directors indicated that <u>no</u> transportation was provided or arranged by their programs.

  * In two-thirds of these programs efforts were made by the program staff to assign jobs to enrollees so as to minimize transportation problems.

  * In programs where transportation services were provided or arranged 6,662 enrollees received such services. This amounts to 8% of all enrollees and 74% of those who were reported to be in need of transportation.

• Follow-Up

- Local In-School NYC directors were asked what proportion of former enrollees were contacted at least once during the 1971-72 school year <u>by the NYC staff</u> for the purpose of providing or arranging for follow-up assistance.

  * 12% of the program directors whose programs were in operation prior to the 1971-72 school year reported they did not initiate any follow-up, but indicated that follow-up services were provided or arranged upon the request of former enrollees.

  * Of programs initiating some follow-up, 53% reported follow-up contacts with 30% or less of their former enrollees.

* Follow-up services were provided or arranged for all former enrollees in only 7% of all programs.

- Follow-Up activities usually consist of writing letters of recommendation, making job recommendations, further vocational counseling, and referrals to other agencies.

• Other Supportive Services

- Local program directors were asked to indicate the three supportive services, other than remedial education, health, transportation and follow-up, which were more frequently needed by the enrollees during the 1971-72 school year.

  * 96% of the directors chose "educational planning, counseling and related services" as one of the three most frequently needed other supportive services.

  * 54% chose "personal hygiene and grooming."

  * 27% of the directors chose "cultural enrichment."

  * Among the less frequently mentioned supportive services were the following:

    .. family planning
    .. legal assistance
    .. financial assistance
    .. housing
    .. child care

It is highly difficult to make generalizations concerning the status of all supportive services provided by In-School NYC. It is important to note, however, that some program directors considered provision of supportive services outside the realm of NYC. However, a majority of the directors believed in the importance of responding to the inhibiting personal circumstances of individual enrollees in increasing their willingness and motivation to complete high school. All of the program directors interviewed agreed that given the tight budgetary constraints of NYC, successful provision of supportive services is highly dependent upon the strength and the range of linkages established with other community agencies.

9. Program Administration

We have included under this module seven highly important sets of programmatic activities. Successful accomplishment of these sets of activities, in our opinion, is a prerequisite to program efficiency and effectiveness. The seven components included within Program Administration are: Staffing and Staff Development, Planning, Implementation, Monitoring, Evaluation, Reporting and Documentation, and Budgeting and Fiscal Control.

Staffing and Staff Development includes those activities designed to recruit, select and hire NYC project staff, and promote professional development by the provision of appropriate resources and supervision. Planning refers to the process of determining and describing a particular course of action for the achievement of one or more programmatic objectives, including detailed specification of tasks to be performed, scheduling of these tasks, assignment of roles and responsibilities, and clarification of the expected outcomes of each task. Implementation refers to the carrying out of the tasks in the manner they are specified in the plan. Monitoring covers all activities designed to assess, on a periodic, on-going basis, the progress made during implementation of the plan. Evaluation includes activities aimed at assessing the immediate effects and the possible long-term impacts of programmatic activities in light of the program-level and module-level goals and objectives. Reporting and Documentation is the component covering the tasks and activities necessary to satisfy the reporting requirements of the U.S. Department of Labor and to adequately document all local program activities. Finally, Budgeting and Fiscal Control refers to those activities necessary for the planning and dispersement of program monies, using U.S. Department of Labor budgeting formal and generally accepted accounting principles.

No data was generated in the survey of local In-School programs related to the components of the Program Administration and the Community Linkages and Public Relations modules, except for innovativeness information. The findings that are listed below, therefore, are totally based on observations during the field work and our conversations with the national and regional office staff.

- An important criterion used by most program directors in the selection of NYC program staff is the interest of a prospective applicant in working with disadvantaged youth. Consequently, the backgrounds of counselors ranged from "off the street," no formal education types...who, in most instances, were reported to have produced remarkable results...to those with advanced graduate degrees in vocational and educational counseling.

- Staff development is not viewed by most program directors as an "ordinary" program activity. However, whenever an opportunity presented itself and if there were adequate funds, the director and/or his staff attended courses or training sessions offered at nearby colleges, universities, and other institutions.

- With respect to planning, implementation, monitoring, and evaluation, our observations can be summarized by stating that these were the areas which most lacked systematic and organized efforts at the local level.
  - Virtually no module-level planning was done. The program-level planning undertaken during the summer months generally centered on "what shall we do this year different from what we did last year."
  - With no specific module-level plans, implementation took the form of either repeating the previous year's activities, or managing the program on a day-to-day basis.
  - Again with no specific module-level plans, monitoring activities were limited to discussions of the program's progress and the problems faced during the bi-weekly or monthly staff meetings. In our opinion, monitoring of the enrollees' progress (previously discussed within the Monitoring module) was done in a more systematic manner than monitoring of the program's progress.
  - Virtually no systematic evaluation of the programmatic activities were undertaken at the local level.
- Most of the local programs document their programmatic activities only to a degree sufficient to meet the reporting requirements.
- Due to a tighter regional control and frequent monitoring of the budgetary and fiscal aspects of local programs, greater attention and effort are placed at the local level to properly account for all expenditures and revenues.

10. Community Linkages and Public Relations

Activities within this module are designed to 1) ensure that enrollees with particular needs have the opportunity to receive the services of other manpower, social and/or community agencies, and 2) garner community support for the goals and objectives of the In-School NYC program. Given the tight and very limited nature of the In-School NYC budget, local programs have to solicit the support of many community agencies in order to favorably respond to the particular needs of each of their enrollees. A well-planned and implemented public relations effort may not only generate this support, it may also create, in the eyes of the general public, a more positive image of NYC and what it is trying to accomplish.

As in the case of Program Administration, our findings concerning Community Linkages and Public Relations, which are summarized below, are also based on the in-depth interviews with 31 selected local programs.

- Almost all program directors and other staff members try to maintain formal and informal contacts with community agencies. The degree of cooperation received from these agencies usually depends upon how good a "salesman" the program director or the staff person initiating the contact is.

- In most programs each staff person establishes his/her own community contacts, which are not usually communicated to the entire staff. Communications with the "contact persons" in other agencies mostly take place as problems arise. Only few NYC programs have systematic methods of keeping their community contacts "alive" at times when there are no problems requiring community assistance.

- Possibilities of establishing reciprocal service arrangements with other agencies has not generally been widely explored.

- Major program activities are often publicized in the mass media.

- Many programs "assume" that they are known in their communities. "Word of mouth" is the primary method used in recruiting the disadvantaged youth.

- Virtually no documentation exists on linkages and public relations. When a key staff person leaves the program his/her replacement has to start from scratch to establish the same linkages.

## E. Conclusions

In the preceding sections of this chapter we have summarized our findings with respect to types of programmatic activities carried out by local In-School NYC programs. As we have stated in the introduction to this chapter, information presented here about the programmatic aspects of local programs represents the first nationwide examination of the operations of In-School NYC at the local level. In addition to facilitating the construction of a descriptive profile of In-School NYC, this information has been of primary value in differentiating between innovative, or "atypical," and non-innovative, or "typical" program activities. Furthermore, the in-depth examination of modular activites has also pointed out areas in which policy guidance and technical assistance to local programs may have significant effects on program performance. In this section, we would like to single out and discuss three such areas.

First, our analysis of planning, implementation, monitoring, and evaluation activities indicates that these were the areas which most lacked systematic and organized efforts at the local level. This is partly due to a

lack of knowledge, on the part of most program directors, of efficient management techniques; and partly caused by a lack of emphasis at the Regional level on programmatic aspects of local project operations. The situation can, therefore be remedied by:

- increasing program directors' knowledge of planning, implementation, monitoring, and evaluation techniques by conducting training programs, developing informative guides on management methods, and providing general technical assistance to local programs on these matters,

- increasing the emphasis placed on programmatic matters at the Regional level by fully acquainting the regional staff with non-fiscal aspects of youth manpower programs and by instituting procedures for programmatic monitoring of local activities.

Second, and closely related to the first, standards for judging the performance of the local programs have never been developed, and therefore, not communicated to local programs. These performance standards, if developed, could be of significant value to the local projects in carrying out self-evaluations of their own activities. Furthermore, such standards could facilitate comparisons of program success as well as point out the relative strengths and weaknesses of local programs and areas of greatest need for training and technical assistance.

Third, alternative methods for implementing modular activities have never been systematically communicated to local programs. A local program director's knowledge of activities performed by other programs is usually gained through informal contacts. Although the "how to do it" manual developed in the course of this project presents a wide array of alternative modular activities that can be performed by local youth manpower programs, this manual should be updated, on a regular basis, to include more recent innovations and alternative sets of modular activities.

The suggestions we have made above should not be construed as implying that In-School NYC, as a youth manpower program, has been totally ineffective. We have no empirical evidence to reach such a conclusion. On the contrary, our analysis of the survey responses and the conversations we have had with selected local program directors indicates that if it were not for their participation in NYC, many youth might have discontinued their high school

education. Regardless of its present level of effectiveness, we believe that, if implemented, the suggestions made above can result in substantial increases in both the efficiency and the effectiveness of NYC. In the following chapters, we shall be examining other aspects of In-School NYC and making further suggestions for improving local program performance.

## CHAPTER III. A CAUSAL ANALYSIS OF SUCCESS IN IN-SCHOOL NYC

### A. Introduction

In this chapter we turn to the concept of successfulness and to the factors underlying success. Our purpose, as stated in the original contract proposal, is to "investigate the factors causing variation in the successfulness of local In-School NYC programs selected for in-depth interviewing."

The analysis essentially addresses success in terms of local program activities. It is based upon a conceptual model, developed out of our fieldwork experience, that illustrates how various activities NYC programs carry out relate to impact upon program success. This model, which is fully explained in the following section, basically asserts that program success, vis a vis its enrollees, is a multiplicative function of five factors, each of which is in turn a function of several programmatic activities. It is thus comprised of three sets of variables: a set of dependent variables, which are, in effect, the major desired outcomes of NYC; an intermediate set of variables upon which the major outcomes are dependent; and program activities that need to be carried out if the intermediate factors are to be effectuated.

The model thus provides, in an organized manner, a response to three basic questions of critical interest:

- What is meant by success in In-School NYC?
- What factors underlie success?
- Why are some programs more successful than others?

Answers to these questions are based on the information and experience the SRI project team accumulated in the course of 31 on-site visits, a national survey, and numerous "in-house" discussions to synthesize and crystalize ideas.

The remainder of this chapter is divided into four sections. In Section B, following a brief explanation of what is meant by success in

In-School NYC, we present a conceptual framework outlining the major intermediate elements of success. Section C concentrates on description and explanation of some important program activities which we have observed to be particularly effective in positively effectuating the intermediate elements of success, and thereby, indirectly impact achievement of the major program objectives. In Section D of the chapter we present our analysis of the validity of the conceptual model presented in Section B, and offer our interpretation of the importance of effective and efficient program administration in the realization of the principal goals of In-School NYC. Finally, in the last section, we summarize the conclusions that can be reached on the basis of the arguments made in the previous sections of the chapter.

## B. A Framework For Analysis of Success In In-School NYC

In-School NYC was established in the mid-sixties to help redress two particularly debilitating problems faced by high school age youth from disadvantaged backgrounds. First, youths from disadvantaged backgrounds were much more likely to drop out of school at an early stage in their education than were youths growing up under less difficult conditions. Second, due to the circumstances typically found in their backgrounds, these disadvantaged youth retained few of the attributes and talents traditionally sought by employers, and hence, had poor employment prospects.

In light of this, In-School NYC was designed as a program to help reduce the drop-out probability of youth from disadvantaged backgrounds and to increase their employability. These two goals constitute the major desired outcomes and the objectives against which program success has been gaged in this study. Success, therefore, is measured by the extent to which a program actually does reduce the drop-out potential of its enrollees and increase their employability. The causal framework presented in the following pages is based on a conceptualization of success in terms of these two purposes of the program.

In the course of our field experience we observed that no one factor alone determines the effectiveness of NYC In-School programs in achieving its two major goals. Instead, it became apparent that the success of a

local program is determined by a number of factors, some of which had not heretofore been accurately identified or fully understood.

It is our opinion that directly underlying success are five elements. Based on close empirical observation and experience in the field, we propose that the employability and drop-out probability of a young person is a multiplicative function of five categories of factors. This means that, in order for a program to be successful, all five of these factors must adequately be effectuated (via program activities, as we shall demonstrate in the next section).

These factors are related to:

- ability
- motivation
- knowledge
- work experience
- personal circumstances

In this model, ability refers to aptitudes and skills. Aptitudes are further classified as "mental" aptitudes (for learning, for example) and "physical" aptitudes (such as dexterity). Skills, on the other hand, are divided into vocational skills (i.e., skills relating to particular job) and "academic" skills. Aptitudes are generally regarded as non-changing, whereas skills can be learned, provided that the remaining four factors do not present a barrier.

Motivation, a psychological construct viewed by some psychologists as the underlying "cause" of all human behavior, has two dimensions, both of which are related to personal goal-attainment. The first dimension, instrumentality, refers to the person's subjective probability of attaining a given goal. A low subjective probability generally implies a low level of aspiration for a given goal. Low aspiration levels combined with repeated failures frequently result in a low self-concept, and thus, to a self-fulfilling prophecy indicated by the statement "I haven't been able to do it in the past, therefore I won't ever be able to do it in the future."

The second dimension of motivation, generally referred to as valence, relates to the desirability, from an individual's point of view, of a given goal. In terms of potential NYC youth, low levels of desirability are typically attached to the value of education and/or work, study habits, work norms, etc., a reflection in many instances of negative sub-cultural attitudes regarding these items. Such attitudes are frequently manifested in statements such as "I don't want to spend my time in a classroom anymore", "My older brother never finished high school and he's doing all right", "There's no value in going to school", and similar statements regarding desirability of work.

The third group of factors determining employability and drop-out potential are all knowledge-related: What is the world of work like?... What does it have to offer?...What are its rules?...How can one get into it?...What kind of choice does one have in choosing what he/she wants to be? In particular, the following five knowledge related factors have a great bearing on whether a young person will remain in school and obtain a job afterwards:

- Knowledge of Work Habits, Norms, and Work-Related Attitudes. "Role conflict" in the first job is common. This results from the difficulty of distinguishing between roles as son/daughter, friend, student, and the role as a "worker." Many youth lack knowledge of attitudes others expect of them towards their job as well as towards their co-workers. Further, they need to become familiar with the "work ethic" so that the problems of adjustment in their first jobs are diminished.

- Knowledge of Importance Attached to a High School Diploma. Most youths from disadvantaged backgrounds have little conception of how important even a high school diploma can be in terms of future dividends.

- Knowledge of Career Alternatives. A large portion of disadvantaged youth lack familiarity with careers and occupations and as a result, have a difficult time making a career choice consistent with their abilities and desired goals.

- Knowledge of Post-Secondary Educational Opportunities. In recent years, colleges throughout the nation have devoted considerable effort to enrolling the disadvantaged. Youths desiring to attend post-secondary educational institutions must be made aware of the opportunities presently existing and the financial assistance now available.

- Knowledge of the System. Most youth are unfamiliar with the "outside world," how it operates, and the kinds of services it can provide to them. If and when in need of assistance, they do not know where and from whom to get it. They are unfamiliar with the existence and the structure of public, private and community institutions, and how they can obtain assistance from them.

Work experience and history pertains more directly to the employability of a young person than to the drop-out probability. It is not difficult to predict that given two job applicants for a particular position, both with the same ability, motivation and knowledge, but one with, and other without prior work experience, the employer would hire the one with work experience. What this implies, of course is that the youth, at the time they enter the labor market, feel "boxed-in" because they have to compete with all others seeking the same job, others who have had prior work history. Obviously, one solution to this dilemna is to give youth some meaningful work experience before they enter the labor market, if this is at all feasible.

The fifth, and the last, set of factors that affect the employability and potential for dropping-out of youth are what we have called personal circumstances. These circumstances, which vary from individual to individual, cover areas in which youth, especially the disadvantaged youth, may need assistance in order that he/she can remain in school and later find and maintain a job. Problems such as lack of transportation, minor health problems, problems with illegal drugs, juvenile or criminal records, and lack of day care for children can inhibit or prevent youth from remaining in school and later finding a job, regardless of their ability, motiviation, and knowledge, or prior work experience.

To recapitulate, we assert that five factors--ability, motivation, knowledge, work experience and personal circumstances--are the primary determinants of the employability and drop-out probability of a young person. What is more important, however, is that these factors operate jointly, and in a multiplicative fashion, in determining the youth's employability and drop-out potential. To give an example, if a young person has the ability, knowledge, work experience, and no inhibiting personal circumstances to remaining in school and finding a job afterwards, he still may not be able to do so unless he has the motivation.

This implies that, stated loosely, if any one or more of the five factors is close to "zero," the chances of increased employability and reduced drop-out potential become very low. What is crucial, therefore, is the interactive effects of these five factors, rather than the effects of any one taken singly. Local programs that fail to provide adequate activities to effectuate some of these factors are most likely to be unsuccessful in achieving the outcomes the program was designed for. Conversely, the most successful programs are usually those that carry out activities that concurrently increase the abilities of their enrollees, motivate them, increase their knowledge, provide meaningful work experiences, and attempt to remedy inhibiting personal circumstances.

C. A Critical Appraisal of Program Activities Related to Ability, Motivation, Knowledge, Work Experience, and Personal Circumstances.

If ability, motivation, knowledge, work experience, and personal circumstances directly underlie the desired major outcomes of NYC, the next, and obvious question, is "how do programs ensure that each of these elements are addressed adequately?" In other words, what programmatic activities affect each of these five factors?

In the pages that follow we respond to this critical question. Specified for each factor is a set of activities that can be carried out if that factor is to be properly effectuated. The activities are culled, in all cases, from among those conducted in the 31 programs we visited and thus represent no one program in particular, but constitute a distallation, on our part, of a great number of activities and approaches we observed in the field. In addition, as a counterpoint to our delineation of activities to be conducted if each of the five factors is to be addressed properly, we present, for each factor, an assessment of the actual status of these activities (i.e. what is typically being done) in the 31 selected programs.

1. Ability

For any given level of aptitude, the ability of an individual can be increased through vocational and academic skill training. Our research team identified a number of activities that led to the accomplishment of these ends.

Let us turn first to vocational skill training. NYC was not created as a vocational skill training program. Whatever vocational training an enrollee receives is primarily aimed at enabling him to acquire the minimum skill necessary to carry out the specific job to which he has been assigned. Clearly, the type and intensity of vocational training required may vary widely among enrollees. Enrollees themselves possess a wide range of vocational abilities, and job-slots demand different kinds and levels of skills.

Designing a strategy to increase the ability of enrollees through vocational skill training requires bearing these aforementioned facts in mind. Job-slots must be carefully selected to ensure that some level of skill is demanded, but not so high a level as to place the requisite skill training beyond the realm of NYC. Both enrollees and job-slots must be carefully assessed to weigh abilities possessed against those required by the job-slot. Finally, a plan to provide the pertinent training must be designed and implemented for each enrollee.

Listed below are some specific program activities designed, at the local level, to achieve these ends, and hence, satisfy the vocational side of the "ability" component.

- Selection of work sites that demand a level of skill that is worthwhile, but not too high as to make vocational skill training very difficult.
- Assessment of work sites to enable development of job specifications outlining the vocational skill requirements of each work site.
- Careful assessment of enrollees' vocational abilities through counseling vocational testing.
- Development and implementation of a vocational skill training plan for each enrollee based on his/her abilities and the demands of the work site.

Concerning the status of these activities in the 31 programs the SRI staff visited, it was found that few provided all four in a systematic fashion.

There was a good deal of variance in regard to the selection of work sites. In fact, there was much disagreement over what exactly constituted

a meaningful opportunity for increasing vocational abilities within the context of NYC. Whatever their stance, however, a majority of program directors were sensitive to providing jobs with vocational training potential, and where possible, did attempt to select work sites on this basis.

Programs were much more proficient at assessing the abilities of enrollees than at assessing the demands of work sites. While the majority of programs assessed enrollees at an early stage of the program (with varying degrees of thoroughness), few bothered to develop job specifications of any type.

Where the vast majority of programs clearly failed, however, was in developing and implementing concrete plans to increase enrollee vocational skills. Most directors believed it sufficient to simply place enrollees on jobs requiring the acquisition of necessary skills. Vocational skill related difficulties that arose were dealt with on an ad hoc basis.

Turning now to the academic side of ability, the SRI field team identified a number of activities that are essential if academic skills of enrollees are to be adequately improved. As with the provision of vocational skill training, NYC was not set up to provide intensive academic training. Whatever academic training was provided was typically of a remedial nature. It was provided only in cases where an enrollee was about to drop out of school due to poor grades. The aim of academic training, in this regard, was to increase the enrollee's academic skills to the point where adequate grades can be achieved.

In light of this, a straightforward approach based on the monitoring of the academic progress of enrollees to determine those in need of assistance, assessment of the academic needs of enrollees faring poorly, counseling as to the importance of a high-school diploma, and the provision of remedial education, is a sound strategy.

Specifically, the following program activities were observed to be pertinent to augmenting the academic skills of youth:

- Monitoring of enrollees' academic progress on a frequent, regular basis
- Assessment of enrollee academic needs through review of past records and appropriate testing (if needed)

- Special emphasis during discussions between enrollees and program staff about the value of completing high school as it relates to securing and maintaining a job.

- Provision of remedial education for enrollees in need of such services, either directly through the program or through another agency.

In a substantial portion of the programs visited, the local project staff argued that their enrollees were not in need of academic skill training beyond what they received in school. As can be imagined, the efficacy of such statements were exceedingly difficult to verify. It is worth pointing out, however, that our field team observed that a majority of programs did assess enrollee academic needs in some way and that most program directors said that they (or their staff) monitored the enrollees' academic progress.

Of the programs that attested that there was some necessity to improve the academic abilities of enrollees, considerable effort was made to ensure that appropriate remedial education services were provided. Most either provided some kind of remedial education program of their own or co-operated with school systems providing such services.

2. Motivation

Negative past experiences and certain sub-cultural norms leave many disadvantaged youth both with low self-concepts and negative attitudes towards commonly accepted social goals. Changing these attitudes and motivating disadvantaged youth to pursue what typically have been viewed as inaccessible and undesirable goals, thus, is no easy task.

Certainly in this regard, NYC is no panacea. Yet our field study revealed that a few programs were taking steps, though preliminary in most cases, to increase enrollee motivation in desirable directions. Efforts were being made to demonstrate the enrollees that they could, if they desired and tried, break the "failure syndrome" and achieve their personal goals by remaining in school and eventually working in an occupation of their own choice.

Such efforts are essential to the success of any NYC program and should be encouraged. In this regard, particular emphasis needs to be placed on counseling. Counseling and guidance should be approached by stressing the desirability and attainability of personal goals.

The following counseling and other activities were observed to be instrumental in increasing the enrollee motivation:

- Systematic, individualized, and frequent counseling to:
  - help youth clarify, reassess, and recognize their personal goals and the rewards associated with them
  - develop a school/work plan specifying interim and long-term goals and strategies to achieve stated goals
  - help youth identify and recognize the extrinsic and intrinsic rewards associated with staying in school and finding and maintaining a good job
- Breaking the "failure syndrome" by having the youth experience success in a work situation
- Raising the youth's self-concept by positive feedback

While several programs made it a point to emphasize their efforts to motivate enrollees, the majority of the 31 programs had no specified, planned approach in this regard. The consensus seemed to be that the extrinsic rewards of a weekly pay check and periodic counseling sessions were sufficient.

In particular, counseling, which comprises the critical element as far as increasing motivation is concerned, was rarely approached in a systematic way. Even where counseling sessions were frequent and regular, they rarely went beyond ad hoc problem-solving. While valuable, counseling of this type left much to be desired.

3. Knowledge

Given a particular level of aptitude and a sincere desire to learn, the knowledge level of an enrollee can be greatly enhanced through proper training, practice, role-play and counseling. This was recognized and accepted by the directors of virtually all local programs we visited. What was not so certain, however, were the areas in which increases in the knowledge levels of enrollees were most needed.

Combined experiences of the 31 programs visited indicates that enrollees in any local program could greatly benefit from activities designed to increase their knowledge especially in the following areas:

- career alternatives and opportunities
- post-secondary education opportunities
- Educational and training requirements of various occupations
- work habits and norms
- work-related attitudes
- the "how to" of finding a job
- how the "system" works and how one can know of and utilize the existing services.

As would be expected, none of the programs we visitied carried out training-related activities covering all, or even most of these areas. Virtually all programs emphasized work norms and habits, e.g., punctuality and personal hygiene and grooming. A few programs, those associated with school systems with vocational exploration and career education components, also emphasized career alternatives and opportunities. A few others emphasized the workings of the "system," especially as it related to the provision of some supportive services needed by some enrollees.

To increase the knowledge levels of their enrollees most programs relied on orientation sessions, individual and group counseling, and whatever insights enrollees could gain on their jobs. In rare instances, group sessions involving audio-visual equipment were used to expose enrollees to various career alternatives and the "world of work" in general. Tours were arranged to educational and cultural institutions and centers and ousiae speakers were brought in to provoke thought and provide added knowledge on a variety of pertinent topics.

Again, however, activities of this kind proved to be the exception rather than the rule. For the most part, enrollees were not clued in on how to utilize community resources, how to search for and find a job, how to fill application forms, etc. A particular lack was noted of attempts to concretely tie the value of a high school diploma to the attainment of enrollees' long-term personal goals, a critical element in increasing both the motivation and knowledge levels of the enrollees.

4. Work Experience

An essential aspect of NYC is to ensure that enrollees gain a meaningful work experience during their NYC participation. This can provide a youth with valuable prior experience before they enter the labor market on a permanent basis.

Unlike other areas, a plethora of activities and approaches were evident among the 31 programs we visited. This was of course, expected since provision of work experience lies at the basis of NYC.

To ensure enrollees received meaningful work experience typically entailed a number of important activities. Programs had to select appropriate work sites, develop sound work plans for enrollees, place enrollees into suitable work sites, monitor their progress, and keep detailed records of their work experience for future reference. Specifically, these activities broke down to the following:

- Employer selection on the basis of their ability to offer meaningful work experience.
- Development of a work experience plan for each enrollee based on the youth's particular abilities and interests.
- Assignment of enrollees to jobs offering work experience consistent with their work experience plans.
- Monitoring of enrollee work progress and adjustment of minor difficulties.
- Maintenance of work records on each enrollee.

Obviously, every one of the 31 programs visited provided each of their enrollees with work experience of some sort. However, virtually all program directors interviewed expressed concern over the "meaningfulness" of the work experience provided their enrollees. Yet, as was the case with the selection of jobs providing opportunities for vocational skill training, a great amount of uncertainty existed over what constituted a "meaningful" work experience.

Some argued that all "non-menial" job-slots offered meaningful work experience. This interpretation, of course, treated meanginfulness as synonymous with the vocational skill requirements of job slots, i.e., experience gained in work stations requiring high skills were viewed as more meaningful than one gained in stations with low skill requirements.

Others thought meaningfulness of work experience had nothing to do with the menial - non-menial nature of the job. Instead, enrollees were regarded as gaining meaningful work experience if the experience provided conformed with their abilities, interests, and personal goals and motivated them to stay in school.

A third, and not uncommon, group of program staff thought that the meaningfulness of the work experience was not at issue. What was viewed as more important was the fact that NYC provided some additional income. In addition, given the limited number of hours of experience enrollees could gain in the In-School program, meaningfulness of the work experience could not have made a difference anyway.

We believe that each of the above three arguments have some credibility. While it is doubtful if experience gained in menial job slots conform with abilities, interests, and personal goals of NYC enrollees, it is conceivable that such experience, and the extrinsic rewards associated with it, could motivate them to remain in school. It can further be argued that since NYC work experience is usually the first such experience for most, if not all, of the enrollees, every attempt should be made not to make this experience a disappointing one.

5. Personal Circumstances

Program enrollees typically are faced with a number of difficulties of a personal nature that seriously inhibit their chances of success. Programs, to achieve their desired outcomes, need to perform a variety of activities that can assist enrollees in overcoming adverse personal circumstances.

In this regard, two approaches are most essential. On the one hand, counseling activities can be valuable in helping enrollees cope with their own day to day problems. But frequently more serious difficulties must be dealt with. Utilization of services provided by community agencies in the service area often becomes the only solution for hard to handle circumstances.

On a specific level the following activities were found to be cogent regarding alleviating personal difficulties of enrollees.

- Assessment of youth's personal circumstances, situation, and needs.
- Counseling and guidance to deal with day to day problems as they arise.
- Referring enrollees to appropriate social service agencies if and when it becomes necessary.
- Constant monitoring of enrollee progress to ensure quick response to problems as they arise.

Staff on virtually every program we visited were extremely sensitive to the often difficult personal circumstances of program enrollees. This sensitivity, however, did not always translate into concrete action. Typically, assessment of enrollees personal problems was conducted on an ad hoc informal manner.

Most programs attempted to resolve some enrollee problems through counseling. Numerous difficulties, however, required specialized and outside help (e.g., severe family problems, physical ailments, drug abuse, etc.). Where appropriate services existed, programs could and usually did refer enrollees to appropriate agencies. When such resources were lacking, somewhat reduced effectiveness in dealing with adverse enrollee personal circumstances resulted. It was also clearly evident that limited availability of Federal funds for supportive services prevented most programs from directly providing such services to needy enrollees.

## D. Two Explanatory Notes: Validity of the Model and the Role of Program Administration

Our purpose in this section is to elaborate on two topics related to the discussions presented in the previous sections of this chapter. First, we will address the question of validity of the rationale of the model presented to explain variations in the successfulness of youth manpower programs in general, and the In-School NYC program in particular. Second, since we have made no mention of the administrative aspects of running a local program thus far, we will elaborate on the importance of efficient program administration techniques in the achievement of the overall goals of NYC.

1. Validity of the Model

It should be noted at the outset that the present study is of a "hypothesis-seeking" nature as opposed to "hypothesis-testing." Rather than collecting and analyzing empirical evidence concerning the validity of previously stated causal hypotheses, the study has followed an exploratory approach to generate such hypotheses, to gain insights into the workings of local programs, and, in general, to better "understand" the complex issues involved in trying to achieve the goals of NYC and similar youth manpower programs. It should, therefore, be stated that the causal model presented in this chapter has not been empirically tested, although its rationale is largely based on empirical observation. The field-work portion of the study has been conducted in a manner not only to generate information concerning locally-based innovations, but also to collect data in order to relate the various activities carried out by local programs to program success.

In addition to the fact that the causal model presented here is empirically based, it should be noted that some of the elements making up the model also have theoretical validity. Psychologists, particularly industrial and organizational psychologists, have long argued that ability and motivation are principal determinants of performance in organizational and industrial settings. Specialists in the vocational and career education field have been strongly arguing since early 1960s that the American educational system should be restructured so as to make the transitions between "learning" and "earning" a smooth one. From another perspective, manpower experts have been pointing to the fact that quality of the work experience gained in a youth's first job is an important determinant of his/her future outlook towards the world of work as well as of his/her potential future employability.

While these and similar arguments do not lend full theoretical credibility to the causal model presented here, they provide additional support to its rationale. We, therefore, conclude that, subject to full empirical validation at a future date, the framework proposed here provides, at the minimum, a plausible explanation of why some In-School NYC programs are more successful than others.

2. Role of Program Administration

It should come as no surprise that virtually all the 31 highly successful and/or innovative local programs visited by our research team were headed up by dynamic, energetic, and efficient project directors with a staff of highly committed professionals. Our first impressions of these projects were that these were, above else, well-administered and well-managed programs, staffed by individuals sensitive to the problems of their enrollees. A majority of them had been fully imbedded into the communities they were serving, with maximum utilization of the services and opportunities offered by their respective service areas.

In view of this observation and the apparent successfulness of most of these programs, we set out to determine a satisfactory response to the question of whether efficient administration and management could solely account for the successfulness of these programs. Our answer is a qualified one and rests on the fine distinction between what activities were undertaken by these programs and how these activities were actually carried out. The "what" question relates to major areas of programmatic emphasis and policy direction. Given a set of activities consistent with these areas of emphasis and direction, the "how" question concerns planning, implementation, coordination, monitoring, and evaluation of such activities.

The causal model presented in this chapter delineates a set of specific programmatic activities, which, if properly carried out in their totality, can greatly improve the successfulness of local programs. The proper carrying out of these activities, on the other hand, is a question of effective and efficient administration and management. Our major conclusion regarding the role of program administration, therefore, is that without an efficient administrative and managerial framework, the activities identified by the causal model are very unlikely to result in success. Similarly, without an overall causal rationale systematically linking specific program activities to the attainment of overall goals, even the well-administered and well-managed programs are likely to face failure.

E. Conclusions

In the preceding pages we have argued that, based on the experiences of successful local programs, program success in NYC can be viewed as a multiplicative function of five factors: ability, motivation, knowledge, work experience, and personal circumstances. We defined and described each of these so-called "success elements" and delineated the types of major program activities which were observed to be effective in impacting these "success elements." We also discussed the general status of these activities in the 31 local programs visited by the SRI Project Team. In addition, we presented our opinions concerning the validity of the proposed conceptual model and the importance of efficient program administration.

In this section we will make two sets of concluding remarks. First, we will discuss the relative emphasis placed by local programs on each of the five "elements" of success. Second, we will recommend a strategy for implementing at the local level a youth manpower program based on these five "elements" of success.

With respect to the first concern, it became evident from our field work that very few NYC programs, even among those deemed as the most successful programs in the country, adequately addressed all five of the success "elements." This is quite understandable, since NYC, like other similar social action programs, cannot alone be expected to find answers to all the problems of its target population. Therefore, it came as no surprise to see some local programs place major emphasis on one or two of the five factors and carry out relatively few activities directed at the remaining three or four. Needless to say, factors emphasized varied widely from program to program. The least amount of effort, by and large, was directed towards increasing enrollee motivation. "Knowledge" was the next least emphasized factor. The degree of emphasis placed on personal circumstances showed great variance and was, to a large extent, dependent upon the level of cooperation and assistance received from community agencies. Finally, "meaningfulness" of work experience went hand in hand with the level of skill training directed at increasing vocational abilities of enrollees. If a program mostly utilized slots offering menial jobs, meaningfulness of the work experience gained as well as enrollee needs for skill training

were relatively lower than in cases where non-menial jobs were in a majority.

As this summary of the relative emphasis placed by local programs on each of the five "elements" of success indicates, motivation and knowledge are the two main factors requiring substantial increase in emphasis; and this can be accomplished regardless of the particular circumstances surrounding a given local program. The remaining three factors, however, are largely dependent upon the range of work experience and supportive services that can potentially be obtained from the employers and other agencies available in the service area.

This brings us to our second point: practicality of implementation of a strategy based on the rationale of the model presented in this chapter. To repeat the basic assertion of this model, unless all five of the so-called "success elements" are addressed simultaneously, it is less likely that a local program can positively effect, in any substantial degree, the employability and the drop-out potential of its enrollees.

There are two important points about the model's assertion which need further clarification and reemphasis. First, in addition to identifying what the five success factors or elements are, the model also emphasizes the importance of carrying out activities designed to address each of the five factors simultaneously. The underlying assumption for this assertion, of course, is the expectation that the interaction effects of the five factors may be at least as important as the single effects of each of the "success elements."

The second point concerning the model's assertion, and the final one we will cover in this chapter, relates to implications of the model for its implementation at the local level. Even though it may be regarded by many as a minor point, we believe it is quite important. The point is that although the model hypothesizes the importance of addressing each of the five success factors simultaneously, it does not assert that the total responsibility for carrying out the necessary activities should lie only with the local youth manpower program. What is important, therefore, is that each of the five success factors be addressed properly for each enrollee, and not which specific agency or program carries the responsibility. If the past

funding levels of youth manpower programs are any indication, NYC or other similar programs do not have the resources to adequately address all five of these factors. If local programs are to implement a strategy based on the rationale of this model, they have to, as many of them have been doing in the past, rely on other community agencies to ensure that enrollees receive the assistance that is vital to their future well-being. Furthermore, even if the local programs had the necessary resources, certain activities, such as vocational skill training, remedial education and some supportive services, are of such specialized nature that youth manpower programs will still have to rely on other agencies to provide these services. What the causal model presented in this chapter points out, therefore, is that there has to be a balance between activities designed to address enrollee abilities, motivation, knowledge, work experience, and personal circumstances, and that local youth manpower program utilizing the strategy implied by this model should individually determine which of the activities can be undertaken directly by their program and which ones require a well-planned coordination effort on the part of the local program staff to ensure indirect provision of the remaining services by other community agencies.

## CHAPTER IV. INNOVATIONS IN IN-SCHOOL NYC

### A. Introduction

In this chapter we will focus our attention on programmatic innovations of local projects in In-School NYC. A careful examination of these innovations is necessary for three reasons. First, innovations in In-School NYC programs have never before been systematically identified. In addition to examination of current innovations, the study also makes a contribution to the current literature by developing a framework which can be used in the study of future innovations.

Second, this examination of locally generated innovations has resulted in the identification and development of replicable approaches for use at the local level. In addition. to innovative approaches, which we call "program level innovations," during the course of the study we have also identified and described activity, or module-level innovations which will give local program staff new and unique ideas in planning and implementing their programs.

Third, an examination of current, locally generated, innovations may result in an increased understanding of why such innovations occur and under what circumstances. This can be of valuable assistance in encouraging future innovations at the local level and in the development of, what might be called, "planned innovation strategies."

This chapter is organized as follows. Section B is devoted to a discussion and clarification of the concept of innovativeness as it has been applied in this study. In Section C, program-level innovations which have been found to be occurring at the local level are described. Section D includes a similar discussion and presentation of module-level innovations along with sets of examples drawn from the field. Finally, in Section E we present our conclusions based on the discussions in previous sections.

## B. The Concept of Innovativeness

Discussion of innovations in In-School NYC requires first an elaboration and clarification of the concept of innovativeness. Accordingly, the the purpose of this section is to clarify and further define the concept of innovativeness and indicate how it has been interpreted and used in this study.

There is little written on the concept of innovativeness. Most of what has been written deals with the definition of this concept within the context of a particular situation. As a result of our review of the literature on topics such as technological innovations, product innovations, diffusion and adoption of innovations, and the role of innovations in social change, we have reached two generalizations with respect to the definition of this term. Our first observation is that innovativeness is rarely defined in a way different from what one might find in a dictionary. Second, we have observed that in these studies the attributes of innovations are given a heavier emphasis than innovations themselves. We shall now elaborate on these two observations.

### 1. Program-Level and Module-Level Innovations

According to Webster, innovativeness is defined as a general term describing "something newly introduced; new method, custom, device, etc." It is quite obvious that in order to determine whether the thing introduced is new or not, one needs sufficient information describing the old methods, customs, devices, etc. In other words, the "newness" of the thing introduced can only be judged in light of what existed before.

In terms of In-School NYC, then, innovative approaches or methods can only be judged by comparing what is "typical" or "common" in local programs with what is "atypical" or "uncommon." We have already described the fairly typical activities undertaken by local programs in our modular discussion of In-School programs in Chapter II. The "atypical" or innovative approaches and activities described in this chapter have, therefore, been identified in the light of approaches adopted and activities carried out by an "average" program.

In analyzing responses of local program directors to the innovation-related questions in the survey questionnaire it became apparent that if one were to categorize local level innovations two distinct types emerged. On the one hand there were, what we have called, "program-level" innovations relating to a particular model adopted at the local level. The second type of innovations involved rather unique, but fairly specific activities performed by local project staff. We have called this second type of innovation "module-level" innovations.

Program-level innovations articulate fundamentally different approaches to achieving the principle goals of the In-School NYC program. In performing a given set of modular functions, a basic philosophy or strategy is adopted which elects certain modules to be emphasized over others. The program-level innovations identified in this study have been instrumental in the development of the alternative program models or strategies presented in the "how to do it" guide. These models illustrate discrete program philosophies or areas of emphasis any one of which may be adopted to facilitate local program planning.

Module-level innovations are comprised of fundamentally new or different methods of performing activities in a given program module. Such innovations are usually limited in scope, may occur in any or all modules but are generally independent of each other. They are activity-oriented and need not bear relationship to any overall program strategy or philosophy. Their inclusion in this report is based on the argument that a description of these activity-related innovations may give a fuller picture of the scope and range of innovations that have taken place at the local level.

2. Attributes of Innovations

Of particular significance to the present study are the attributes or characteristics of innovations. It is one thing to know that something is innovative, it is another to know its implications within the context of a given situation. This implies, of course, that there is no single set of attributes that can be used to assess its implications under a wide range of circumstances. If there is any set, it is usually determined by the purposes of a given study. For example, in The Study of Man[6], Linton

[6] Ralph Linton, The Study of Man (New York: Appleton-Century-Crafts, 1936).

has concentrated on attributes of innovations such as utility, compatability, prestige, advantage, complexity, and pleasure. In a study of the diffusion of innovations Rogers has used attributes like communicability, divisibility, compatability, advantage, complexity, and penalty.[7] A relatively different set of attributes are identified in Barnett's study of innovations: efficiency, repercussions, cost, mastery, incompatability, and pleasure.[8] A still different set of attributes have been used by Kivlin in his study of adoption of farm practices.[9] Kivlin's attributes include saving of time, divisibility, cost, communicability, mechanical attraction, compatability, and advantage. In addition to the attributes covered by these four works, there are a host of other attributes reported in the literature. Among these are the novelty, surprisingness, incongruity, and uncertainty of innovations.

Since they would play a key role in the identification and selection of local programs for in-depth analysis, during the initial months of the study extensive discussions were held among the members of the project team on the composition of the final set of attributes to be used in assessing the innovativeness responses to the survey questionnaire. Briefly, in view of the purposes of the study and the nature of the responses to the innovativeness questions, the following four criteria constituted the basis of our evaluation of the program and module-level innovations in In-School NYC:

- Commonness refers to the originality, uniqueness, novelty, and inventiveness, i.e., the innovativeness of reported local level activities. In the specific context of this study, commonness has been defined in terms of the frequency of occurrence of the described activities in In-School NYC.

- Replicability relates to the applicability and duplicability of the described activities by other similar programs. This attribute has been included to ensure that innovations having wide application

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[7] Everett M. Rogers, Diffusion of Innovations (New York: The Free Press of Glencoe, 1962).

[8] H.G. Barnett, Innovation (New York: McGraw-Hill Book Company, Inc., 1953)

[9] J.E. Kivlin, "Characteristics of Farm Practices Associated with Rate of Adoption." Unpublished Ph.D. Thesis, University Park, Pennsylvania State University, 1960.

possibilities are identified. Factors considered in assessing replicability were cost, complexity, congruity, and compatability.

- Relevancy examines the nature of the innovation in terms of its potential for making a significant contribution to the attainment of the goals of the In-School NYC program. In other words it deals with the question of whether the described activities may help improve the efficiency and the effectiveness of the program.

- Dependency investigates whether the innovation described under a particular module is a part of or is dependent upon a larger innovative model. This attribute has been highly instrumental in the identification of program-level innovations.

Commonness is the major critierion used to judge how "atypical" an approach or an activity was compared to the approach adopted and the activities carried out by an average program. Replicability and relevancy were the two criteria used to assess the value and potential usefullness of the reported innovations as far as other local programs were concerned. Finally, dependency was the major criterion adopted to differentiate between program-level innovations which may be reconstructed as "models" and module-level innovations which could be useful in pointing out unique and fairly uncommon activities that could be carried out by local youth manpower programs.

## C. Program-Level Innovations

Program-level innovations, to recapitulate, comprise alternative approaches to achieving the goals of the In-School NYC program. They identify and differentiate between the main thrust and the corresponding operational framework of the program within the constraints of the Federal guidelines.

Descriptions of the eight program-level innovations in this section constitutes the basis of the rationale of the eight "models" including in the how-to-do-it guide which supplements this final report. For more detail on modular activities associated with each program-level innovation the reader is referred to the "how-to-do-it" manual.

A few explanatory remarks are in order before we proceed with the description of these program-level innovations.

First, it needs to be pointed out that very few program-level innovations have been occurring at the local level. The two main reasons for the scarcity of such innovations, in our opinion, are lack of a Federal-Regional policy to encourage and give direction to local level innovations, and, the tightness of the program guidelines regarding local program operations, which, leaves little room for trying new and innovative program-level approaches.

Second, the major areas of emphasis of the eight models described below bear a close resemblance to some of the causal factors discussed in Chapter III. This should come as no surprise since one of the criteria utilized in identifying program-level innovations was the probable effectiveness of the approach utilized, i.e., relevancy. Consequently, assuming that the rationale of the causal model of the preceding chapter was in fact verified empirically, program-level innovations would ordinarily be expected to have their rationale built around one or several of the five success elements: ability, motivation, knowledge, work experience, and personal circumstances. It was not surprising to us, therefore, to come across innovative approaches based on vocational skills improvement, self-image development, career exploration, and workmanship training. What was somewhat surprising, however, was the fact that these unique approaches, even though they rested mainly on one of the five factors of success, did not leave out completely the other four success elements. This probably best explains, why many of the highly innovative programs also turned out to be highly successful. In other words, what made these approaches highly innovative and successful was the fact that their underlying rationale rested on effectuating each of the five success factors, with primary and rather heavy emphasis placed on one, such as ability, motivation, or knowledge.

Third, it should be pointed out that even though all of the eight models described here are based on our in-depth examination of 31 In-School programs, the descriptions of each model rest on the combined experiences of several of these 31 programs. In most instances there is only one local program which serves as a model to each description. We have supplemented the experience of each model program with those of others which have adopted a similar, but not as extreme an approach. Some

of the eight program-level innovation descriptions, therefore, reflect our distillation and integration of the experiences of several programs and may not be found in the field precisely as they have been described below.

We shall now proceed with the description of the essential elements of the eight program-level innovations.

1. Self-Image Development - An Area of Emphasis

This model stresses highly individualized professional guidance to strengthen the youth's self-understanding, self-image and general attitude. It is built around the interrelated needs of the enrollee--the need for an accurate and acceptable self-image, the need to verify this self-image through associations and expand the self through action.

Emphasis in this area is necessary since disadvantaged youth typically have poor self-images. They see themselves as lacking in ability to succeed. Due to chronically low expectations, their failure potential is correspondingly higher. The program assumes that improvement in this type of attitude will eventually lead to academic, vocational and behavioral improvement. Programs which have adopted this model strive towards encouraging the enrollee to see himself as worthy and successful, developing personal problem-solving techniques, generating an ability to interact successfully with others, and increasing the enrollee's motivation to succeed in school and on the job.

The self-image development emphasis is evident particularly in the Brockton, Massachusetts program, and, to a lesser degree, in Poplar, Montana; Oakland, California; and East Chicago, Indiana. The Brockton program has succeeded in assisting youth in overcoming their problems arising out of social mal-adjustment; in developing responsible attitudes; and in improving their employability. All counseling is intended to build a positive self-image among enrollees through sensitivity training sessions, brain-storming, role-playing, and group discusssions. Staff members examine the unusual interests of enrollees and search for work assignments that best correspond to those interests. Employers are sought who offer jobs above the routine level. Enrollees are permitted to evaluate their work supervisor and their respective work assignment. The ultimate objective is to instill pride, dignity and confidence in the enrollees to make them more employable upon completion of the program.

2. Vocational Skills - An Area of Emphasis

This model is designed primarily to increase the potential employability of youth and is intended to provide the youth with necessary vocational skills to qualify for a specific full-time job upon graduation. The model assumes that other agencies and

institutions have already provided the youth with at least the minimum academic skills and supportive services necessary for them to perform their jobs. If this is found to be untrue, the program attempts to arrange such services. While learning particular vocational skills the enrollee also acquires a knowledge of the necessary work habits and a sense of pride, prestige, and self-esteem in being productive and self-supporting. The model, therefore, places little or no emphasis on academic skill training and direct provision of supportive services.

An example of the vocational skills emphasis is found in Project WELD which has its central office located in Albany, New York. In addition, the programs in Cleveland, Ohio and San Bernardino, California exhibit elements of a vocational skills strategy in their programs. In Project WELD emphasis is on providing current employment for selected enrollees and serving as a placement service for these same young people in terms of permanent employment. One of the program's goals is to assist each enrollee in finding a permanent job, or to place him in a post-secondary training program, within one month of leaving In-School NYC. The program does extensive Enrollee Entry work focusing especially on the assessment of each enrollee's vocational interests and abilities. On their jobs enrollees learn basic skills that can be expected to facilitate the enrollee's transition into permanent work. Monitoring emphasizes evaluating job performance and determining when the enrollee is qualified to move to a more responsible position. Extensive follow-up activities undertaken by Project WELD indicates that 80 percent of former enrollees have experienced successful placement either in permanent jobs or in post-secondary educational institutions.

3. Enrollee Involvement - An Area of Emphasis

This approach emphasizes extensive involvement of enrollees in selecting their own jobs and in virtually every aspect of the operation of the program. It is designed to encourage the creativity and confidence of the youth through participation in problem-solving activities. This strategy assumes that under appropriate circumstances and supervision the enrollee is capable of developing and using his knowledge and skills constructively. Under this assumption, the program seeks to increase the motivation of the young people by providing them with numerous opportunities to gain individualized intrinsic rewards. Enrollees who participate in this program usually acquire problem-solving techniques which they can apply personally and in group situations. They also are expected to display increased responsibility to themselves, personally; to individual social groups; and to their community. Finally, they usually gain better social interaction awareness.

An example of a program which emphasizes the development of the enrollee's personal resources is the NYC program in Eureka, California. The principal innovation of this program is the strategy developed by staff members to encourage enrollees to make

their own decisions on matters that affect them. Staff members offer only guidance. Such a strategy reinforces the enrollees' commitment process and enhances the program's effectiveness. It encourages the enrollees to learn how to solve their own problems and become more responsible in the classroom, at work, in the community, and within the program itself. Among factors that establish the effectiveness of this program is a desire by staff members to provide enrollees with meaningful jobs, above the routine and menial level. Jobs are sought that provide challenge to the enrollee and offer the opportunity to cultivate saleable skills. Some of the enrollees hold responsible jobs as members of the NYC project staff. Their duties include developing press releases, preparing reports for the State Department of Labor, screening time cards and payroll reports, and sometimes, serving as professional counselors. Enrollees are encouraged to contribute, as volunteers, to a variety of community activities--again to inspire personal involvement. Counseling is highly individualized and very informal. It always is conducted around a framework for what the enrollee himself has determined to be his needs and problem areas. The underlying current is one in which the enrollee is assisted by counselors, but remains free to recognize his own goals and move in his own direction.

4. Career Exploration - An Area of Emphasis

This model employs direct and indirect techniques to acquaint disadvantaged youth with a variety of career possibilities. In the course of this program model, youth are familiarized with occupations, work environments, job and training requirements, and advancement possibilities in given job and skill categories. This strategy assumes that education concerning the kinds of jobs available, their requirements and responsibilities will lead to more suitable career choices. Through varied work experience youth acquire the knowledge necessary to make more satisfactory career choices. A career choice with conforms with the abilities and interests of the individual may result in a sense of meaning and accomplishment in work.

The unique experience of the In-School NYC program in San Bernardino, California has been supplemented by some elements of the Cleveland, Ohio and Pawtucket, Rhode Island programs in the formulation of this model. Once accepted into the program, an enrollee is encouraged to make a career decision, even if a tentative one, so that a constructive course of action can be planned. Enrollees are free to alter their initial decisions as their career plans progress. The program attempts to expose each enrollee to several actual job alternatives in the course of the year. Job rotation facilitates this phase. The jobs themselves offer a relatively wide choice of career alternatives. A counselor is always available to offer advise and guidance to the enrollee. In the San Bernardino program,

which is sponsored by a school system, a direct relationship to the enrollee's individual school curriculum is developed. The program draws heavily on school resources for enrollee assessment, vocational interest testing, and group orientation to the "world of work." Among unique services provided by the San Bernardino program is a mobile career counseling activity. Using two specially-equipped mobile vans, staff members visit the various high schools periodically to permit interested students to learn more about career alternatives. The vans are outfitted with audio-visual equipment that graphically portray some 500 alternative careers. Pamphlets on career alternatives also are made available at the vans.

5. Academic Skills - An Area of Emphasis

This model emphasizes a close relationship between the In-School project and local educational systems. It is designed to help youth remain in school, perform better academically, relate academic experience to possible career opportunities, and encourage youth to continue their education at a higher level. Basically, it seeks to improve a disadvantaged youth's abilities by improving his academic skills. It is predicated on the belief that a better education will lead to increased potential in the labor market. This approach rests on identification of goals that can challenge individual enrollees to perform better academically, and on an attempt to nurture an enrollee commitment to achieve these educational goals. The sponsoring agency, the program director, his staff, and the local school system(s) view the NYC program as an integral element of the total educational activity and as a viable part of vocational education. Youth who enter and complete the program are expected to complete high school, develop more positive self-images as a result of their academic achievements, and increase their levels of academic and career aspiration.

An example of the academic skills strategy combines salient points from four separate programs which include Cleveland, Ohio; Oakland, California; Poplar, Montana; and Campton, Kentucky. Each of these programs work in close cooperation with the school systems and offer enrollees remedial education services when these services are not offered as a result of the curriculum. Job slots are selected in terms of their positive effect on enrollees' interest in school. Data processing departments, local hospitals, technical laboratories and skilled trade areas are among the common job locations.

Program counselors and school counselors coordinate activities to provide needed services while avoiding duplication. Counseling by program staff tend to take the form of teaching. The subjects usually "taught" are money management, civil rights, appropriate techniques on how to apply for a job, and basic job performance. Field trips afford further opportunity for development of the enrollee's academic skills. The trips include visits to different employment and educational environ-

ments and include discussion of the requirements for obtaining work in those particular areas.

6. Community Responsibility - An Area of Emphasis

In the Community Responsibility strategy maximum emphasis is placed on the utilization of existing community resources, including the development of a network of reciprocal services with other agencies and active participation of the enrollees to community affairs. The model is designed to increase the youth's knowledge of his community--the "system"--and how it operates.

Adoption of this type of a strategy is expected to result in an increased initiative on the part of the enrollee; development and acceptance of a sense of responsibility by the enrollees to themselves and the community; and a working knowledge of community action lines. In addition, each youth may develop a sense of pride and prestige by making contributions to the community.

Programs in Oneonta, New York; Elmira, New York; Horizons Unlimited of San Francisco (California) Inc. and the Assiniboine and Sioux Tribes of Fort Peck Reservation program in Poplar, Montana have all contributed innovative elements to the development of this strategy. Selection of enrollees with multiple difficulties is emphasized in this type of program. The program seeks community service-related work assignments and other forms of employment. Menial or routine jobs are avoided as much as possible in favor of more purposeful job assignments including community work in areas such as drug clinics, welfare agencies, day-care centers, alternative educational programs, and community action agencies. A strong coalition of community agencies and services is developed. Enrollees in the program are naturally drawn into the coalition setting, both to fulfill their work assignments and to become involved in community self-help functions. The end result is a strong influence on strengthening each enrollee's feeling of being needed. A heavy emphasis is placed on counseling and supportive services. In the supportive services area, the enrollees are provided remedial education, if they need such services. Special instruction in areas such as planned parenthood, drug prevention, legal aid, welfare rights, and vocational opportunities are also provided.

7. Workmanship Training - An Area of Emphasis

This strategy emphasizes the development of good work habits and attitudes, and an increased understanding of the general responsibilities of an employee. The model is designed to increase the disadvantaged youth's knowledge of work-related norms and habits. It presumes that good work habits, an ability to get along with the supervisor and co-workers, and adherence to work norms are necessary conditions of increased employability. As they participate in programs emphasizing this strategy, enrollees develop realistic expectations about the working world.

They also acquire a sense of pride and responsibility through increasingly successful job performance.

Combined experiences of the NYC programs in Campton, Kentucky and Fayetteville, Tennessee make up the basic strategy of this model which emphasizes basic employee responsibilities and fundamental work habits. Included in this emphasis are instruction in work training, punctuality, proper on-the-job wearing attire, and employer expectations relative to employee attitudes and performance. These aspects are stressed throughout the program. Counseling is often closely coordinated with school resources. A unique aspect of this strategy is to stimulate participation by local adults who are agreeable to accept the role of "enrollee benefactor." Work assignments are the result of the ingenuity of the director or other adults involved in the program. Enrollees are encouraged to offer work assignment ideas. The program continually attempts to instill a purpose in the enrollees, build discipline when it comes to work habits, and create a greater sense of pride.

8. Income Maintenance - An Area of Emphasis

The Income Maintenance approach emphasizes the importance of providing disadvantaged youth with a supplemental income in an attempt to encourage them to remain in school until graduation. The wage payment, then, is viewed as the major extrinsic reward for positive behavior. This area of emphasis is based, mainly, on the assumption that lack of money is the primary reason for some disadvantaged youth to drop out of school; and, consequently, their enrollment in NYC provides them another chance to complete their high school education.

In addition to information on innovations of the NYC program located in Marshall, Texas, elements of this model have been drawn from programs in Fayetteville, Tennessee; Rio Grande, Texas; and Tuskegee, Alabama. Given the basic hypothesis of the approach that NYC wages can make greater than marginal financial effect on the lives of enrollees, it is suitable especially for economically depressed areas. NYC not only assists enrollees financially but is also of financial benefit to their immedaite families. Eligibility is based on family need. It is usually determined by the size of the potential enrollee's household in relationship to family income, and by consideration of the family's history of illness and/or disability. The program also seeks to provide special assistance to youth with delinquency and disciplinary problems and a history of truancy. Most enrollees are from single parent households that feature severely overcrowded living conditions. Most adults in the enrollee's home are unemployed. The school system provides most jobs necessary to accommodate enrollees. Job training and monitoring are generally informal. Counseling is also informal and focuses on budgeting and money management.

The eight models just described represent a detailed cross-section of all program-level innovations as they are occurring at the local level in In-School NYC. Clearly, each of these models have their own unique advantages and disadvantages. Their underlying rationale speak for themselves and may or may not appeal to some local program sponsors and/or directors. The important point that should be made, however, is that rather than direct applicability of any one of these approaches to a particular local situation on the basis of the descriptions presented here and in the guides,[10] a better use can be made of the program-level innovativeness information generated through this study if local programs were encouraged to assess their own specific needs and problems and then review these descriptions to "make up" their own innovations by combining elements of several of these approaches. This would not only encourage local programs to generate well-thought, innovations, it would also result in program designs which best serve the particular needs of local communities.

D. Module-Level Innovations

While program-level innovations described in the previous section can be viewed as alternative approaches to achieving the overall goals of the In-School NYC program, module-level innovations, which comprise the topic of discussion in this section, can be looked upon as alternative activities that can be carried out in order to achieve the objectives of a specific module. What are at issue, here, therefore, are the innovative activities designed for the achievement of module-level objectives as opposed to higher-level program goals. Since better attainment of all modular objectives would lead to better realization of program goals, examples of innovations presented in this section should not be looked upon "lightly." In fact, many readers of this final report who are operating or planning to operate local youth manpower programs may find more new and insightful ideas in this section than the preceding one.

The two sources of information from which the descriptions of module-level innovations have been drawn are the nationwide mail survey of In-School NYC programs and the subsequent field visits to 31 selected local

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[10] See Footnote 1.

areas. We have categorized these innovations by module and, in order to maintain their authenticity, presented them in the form of examples of activities carried out by specific local programs. While several examples of innovations have been described within each program module, we have not attempted to report all such innovations. These descriptions, therefore, should be regarded as a representative listing of module-level innovations occurring at the local level.

1. Enrollee Entry

- In Tuskegee, Alabama student interest in the program is inspired through the formation of a special NYC In-School enrollee club. Members have T-shirts inscribed with the NYC letters. In addition to forming an NYC singing group the club members participate in various community activities such as making an NYC float for parades, presenting talent shows at various schools and acting as sponsors at school dances. Club members receive special certificates upon high school graduation. A special NYC "week" is held, complete with press coverage.
- Enrollees are involved in encouraging other youth to apply to the program in Santa Barbara, California. In that program enrollees act as effective salespeople for recruiting enrollees. These activities also comprise unique job-slots for some enrollees.
- Enrollees in Eureka, California are actively involved in handling all enrollment procedures in Main and District offices. They are trained and supervised in these activities. In addition, NYC enrollees at schools handle initial paperwork for new enrollees at those locations.
- The San Bernardino, California In-School NYC program carefully determines the interests and potential job-related personal and social problems of each enrollee prior to job placement. Each enrollee completes a needs assessment inventory to help determine eventual counseling needs. Each enrollee also completes an interest or self-assessment inventory followed by an aptitude evaluation. The results of of these tests are used both in Matching and Assignment activities and the development of a career plan for each enrollee. This plan is shared with a school counselor and the parents.

2. Enrollee Orientation

- Individual enrollee orientation in Eureka, California is largely informal. The roles and responsibilities of all parties, program procedures, and "where to go" for help are all defined prior to job assignment. Although counselors have responsibility for orientation, they are assisted

by local school administrators and current enrollees. In some cases more experienced enrollees actually conduct orientation sessions since new enrollees can more easily relate to them.

- Orientation in the Assiniboine and Sioux Tribes of the Fort Peck Reservation program in Poplar, Montana is conducted in small groups. Topical presentations are kept short. Staff are very familiar with orientation material before presentation. Older and younger enrollees are paired off in "buddy approach." Audio-visual aides including slides and tape recordings are developed by staff and then reviewed by work supervisors and former enrollees before presentation. The effectiveness of orientation activities is evaluated by enrollees and staff. Initial orientation is followed up with monthly or bimonthly meetings for updates and clarifications.

3. Employer Entry

- In Eureka, California enrollees are involved in presenting the program to prospective employers, thus "breaking down" some stereotypes employers may have of enrollees. This is done through a careful explanation of the program, a slide presentation developed by enrollees of work-sites, and through personal contact.

- In Fall River Massachusetts:

  - Under Project Youth enrollees make up 50% or more of a group of youth engaged in their own business. For example enrollees make a variety of wood working related products based on customer orders.

  - Camp Interlocken is a project undertaking of In-School, Out-of-School and Summer enrollees, to build a large facility which will serve as both a day and overnight camp for disadvantaged youth. All the carpentry in more than 20 structures has been done by enrollees.

  - Enrollees play a major role in the operation of the official World War II War Memorial for the State of Massachusetts. They have completed a major refurbishing of one battleship and are now working on a submarine. Enrollees are also trained by Memorial personnel to handle admissions, act as tour guides and assist in the operation of a gift shop.

- In another program, Horizons Unlimited of San Francisco (California) Inc. enrollees are trained in silk screening arts by a counselor. Enrollees design and print posters for community organizations and events - based on orders. "Customers" pay the cost of supplies.

- The New Haven, Connecticut program utilizes a unique approach in the selection of its employers. The Employment Outlook Projections for the area are reviewed in order to select employers to duplicate, as closely as possible, the labor market conditions in terms of occupations projected to be demanded in the area by 1975.

- Descriptions of jobs employers offer are systematically developed in Horizons Unlimited of San Francisco (California) Ind. Selected employers complete "job slot cards" identifying

  - name of job site (employer)
  - address
  - position of title
  - description of job
  - work supervisor
  - work hours and degree of flexibility
  - education potential

  This material is then utilized in Matching and Assignment.

- In the Assiniboine and Sioux Tribes of Fort Peck Reservation program in Poplar, Montana a similar job description is developed though it emphasizes training rather than education potential. In addition provisions are made for job upgrading.

4. Employer Orientation

- In East Chicago, Indiana a formal orientation-training program has been developed for work supervisors to provide a more relevant and meaningful experience to the enrollees. In these programs supervisors gain an awareness of the circumstances and demands placed upon disadvantaged youth. "All prospective supervisory personnel" are asked to participate which include:

  - Municipal and school administrators
  - Key line supervisors
  - First line supervisors

  The first line supervisors receive more intensive training emphasizing practical solutions to common problems through "sensitivity" techniques and role-playing. Some areas covered are:

  - Awareness and sensitivity to NYC enrollees
  - How to listen to and communicate with enrollees
  - Diagnostic understanding of group problems
  - Understanding of inter-group and intra-organizational problems
  - Feedback - how to give and receive

- The Cleveland, Ohio program emphasizes program procedures in activities performed to orient large number of employers. Saturday work supervisor orientation programs are conducted where material such as the following are utilized extensively:

- A comprehensive and detailed work supervisor handbook
- An NYC newspaper
- A film describing the program developed by enrollees and the school.

5. Matching and Alignment

- In Eureka, California enrollees are actively involved in matching themselves with appropriate employers. New enrollees read developed job descriptions with another enrollee already in the program. The veteran enrollee assesses the matching task in writing and gives his evaluation to the counselor. The counselor discusses alternative jobs with the new enrollee and they narrow the alternatives down to three or four on the basis of enrollee assessments. Whenever possible, counselors make arrangements for enrollees to visit work sites, see the work stations and meet the employers. Based on these visits, mutually satisfactory assignments are made.

- In San Bernardino, California on-the-job training for nearly one-third of the enrollees is supplemented by at least one job-related course in school. This combines theory and practice and provides a means of career exploration.

- Training is combined with knowledge acquisition also in the Bernahillo, New Mexico program where some enrollees learn how to make and lay adobe which is used in the preservation and reconstruction of a state monument. In addition to training, enrollees receive insight into their cultural heritage and knowledge of construction techniques.

6. Monitoring

- Enrollee performance is reviewed quarterly in the Oakland, California program. Student enrollees, work supervisors and the NYC coordinator are usually present at such reviews in addition to the occasional representation of parents and/or school counselors.

- The Pawtucket, Rhode Island program has developed a quarterly "performance review form." The first section of the form describes the actual duties of the enrollee. Enrollees are then graded on job duty for a 12 month period, improvements are monitored and problems are pinpointed. The form is modified to reflect job upgrading. The second part of the form is used to rate the enrollee's work habits, again over a 12 month period. Space is also allowed for counseling notes and explanations of work-site reviews. In short, the form portrays the performance as well as the progress of each enrollee over a period of a year.

7. Counseling

- An Enrollee Manual has been developed in the Cleveland, Ohio program containing a series of counseling lessons that review

major areas of concern expressed by staff and enrollees. These lessons are available for group counseling use during the school year. Outside speakers, films, and slide presentations are utilized as needed.

- In the East St. Louis, Illinois program counseling is combined with community resources and field trips. Activities are designed to expose enrollees to different situations and ways of thinking. The activities include:

  - Employers speaking on what they look for in employees
  - Drug counselors, legal service representatives and police describing their work and community relations
  - Representatives of local Community Action Agencies discussing how their programs relate to enrollees and their families
  - Using buzz sessions on local community problems to draw reluctant enrollees into discussions
  - Role-playing of supervisor-enrollee interactions
  - Films on cultural history promoting pride and understanding
  - Individual counseling on vocational choice, discussing performance ratings and evaluations
  - Themes written on selves, families, and communities providing a series of counseling known as "Who Am I" from which enrollees learn to recognize feelings and to speak out on different matters
  - Professional counseling utilized for resolution of major problems.

- The Wilburton, Oklahoma program attempts to put enrollees at ease through informal counseling in less threatening environments such as the corner drive-in, or a drug store. Group meetings with refreshments, social activities, special speakers and films are utilized. Industry sites are visited. How to apply for a job, jobs available and their requirements, company benefits, and job upgrading are discussed. Vocational schools are toured for occupational and educational information.

8. Supportive Services

   a. Remedial Education

      - The program in Campton, Kentucky arranges Saturday a.m. remedial education classes for all enrollees receiving less than a "C" (average) grade in any subject. Volunteer teachers and enrollees are used to help tutor other enrollees. Tutors consult teachers prior to these sessions. Teachers prepare special assignments which tutors review with the teachers. Enrollees remain in remedial education until the teacher notifies the program of acceptable progress and/or grade improvement.

b. Health

- The cooperation of the County Department of Health has been secured in Pontiac, Michigan to provide health screening services for all enrollees at no cost to the program. Health Department volunteers transport enrollees to the department and process them. Services include: dental screening, vision, hearing tests, and other tests such as blood, tuberculosis, sickle cell anemia, and urine analysis. The Public Health Nurse is available to advise program staff, enrollees, and parents of test results and other optional tests available. Necessary immunizations are also given. Medical follow-up is a coordinated activity involving the program, the welfare department, and the department of health.

c. Transportation

- The Oneonta, New York program has secured GSA (General Service Administration) vehicles, trucks, and buses. The program hires drivers to provide transportation to work, school, social and special events, as necessary.

d. Follow-Up

- In Poplar, Montana a complete follow-up file has been kept since 1965. The follow-up data forms are used to up-date information on former enrollees. Former enrollees are advised by letter when and where staff members will be available for discussions. Former enrollees attending colleges are utilized to support and encourage recent graduates entering college. Exit interviews are held with graduating enrollees to discuss plans and needs for assistance. Communication in the form of letters and notices are maintained in addition to job placement and scholarship referral services.

- Another program, located in Oneonta, New York, emphasizes personal contact with former enrollees. Program mailings for holidays and special events are sent out to all former as well as current enrollees. Christmas greetings include an inexpensive remembrance. Former enrollees are encouraged to write or call. Assistance is offered if needed and congratulatory notes are sent for achievements.

e. Other Supportive Services

- The Poplar, Montana program has developed a "resource utilization and action referral" index for staff use. This index ensures that enrollees know of and receive necessary supportive services. In addition, existing community agencies, group and individual resources are identified and categorized for ready reference. The index is updated tri-monthly and circulated to intake staff and program personnel. As potential enrollee needs are identified, appropriate resources are also identified and placed in enrollee files for future reference.

- Educational and vocational field trips are provided by the Wilburton, Oklahoma program. The program has secured the cooperation of the "Career Development Trailer" which routinely visits schools to provide vocational information. In addition the program has arranged for experimental living on campus and recreational activities such as picnics and talent shows.

- Cultural enrichment activities are emphasized in Oneonta, New York. The staff has organized athletic teams, camping trips, dramatics, and instruction in home economics and music. College students in the area are encouraged to participate in activities and enrollees are invited to their colleges. Emergency loans are provided to enrollees through a fund donated by college students.

9. Program Administration

- The San Francisco, California program has, during its summer operation, developed an enrollee board which assists in the hiring of new staff. Each prospective counselor is interviewed by the board. This also offers the applicants an opportunity to talk to the kind of youth with whom they will be working.

- In Quincy, Massachusetts the program solicits enrollee participation in the decision-making process. Enrollees are consulted in group and individual sessions prior to the making of program decisions which affect them. In addition enrollees are encouraged to respond anonymously to program surveys to provide ideas for constructive program changes.

- Staff development is a formalized activity in Poplar, Montana. A year-round staff "training roster" has been developed. Topics include: Communication, Accounting and Fiscal Management, Juvenile Delinquency, Manpower Programs Goals and Procedures, Adolescent Psychology, Minority Group Communication, Testing/Psychology of Relationships, Mobilizing Resources/Component Program, Program Planning and Analysis, Job Development Procedures, Remediation, Program Quality Review, Interviewing-Youth and Adults, Counseling Procedures, and Group Skill Team Approaches, Medical/Legal Components, Motivational Psychology, and Job Prescriptions.

  The program also encourages staff to attend formal courses. In addition, a "staff code of conduct" has been developed which establishes a minimum performance standards for program personnel.

- Timely staff feedback is emphasized in San Francisco, California. Weekly staff meetings are held in which activities for the week and other issues are discussed. The supervisors hold individual conferences weekly to review progress and identify problems. Daily memoranda are issued to staff.

- The Poplar, Montana program has developed a weekly schedule showing daily events and individuals responsible for activities according to a master calendar. This schedule is distributed to staff.

- Accurate documentation is heavily emphasized in Marshall, Texas. Each program coordinator is requested to make weekly status reports including 1) the number of new contacts made, 2) the number of repeat contacts made, 3) community meetings attended (date, time, location, subject...), 4) community problems noted and solutions proposed, 5) achievements, 6) objectives for the following week. In addition, each coordinator completes a monthly services form which includes 1) hours spent in counseling enrollees, 2) the number of enrollees tested, 3) the number of employers contacted and the number of openings that developed, 4) the number of potential enrollees referred to the project by the counties, 5) re-enrollees in each county, 6) the number of enrollees attending vocational or other special classes and other pertinent comments.

- The Marshall, Texas program has also constructed a linear graph for ready reference illustrating the projected monthly amount of enrollee wages to be paid out in order to spend 100% of the money budgeted in that category and the actual amount of enrollee wages paid each month. Staff reviews these graphically represented figures and make modifications, when necessary, in the number of enrollees and/or hours of work a week for the remaining months. This is done to ensure that all of the enrollee wages in the budget are utilized.

10. Community Linkages and Public Relations

- In San Francisco, California the program has developed a parent group in order to disseminate information and to increase community support. The group meets with the enrollees monthly to work on fund raising activities such as organizing a Flea Market. A monthly newsletter which is prepared entirely by enrollees is sent to parents and community agencies. Other community organizations are allowed to use program facilities. Students other than enrollees are encouraged to attend weekly remedial classes held in the program facility (in conjunction with another community based program which provides volunteers).

- The Cleveland, Ohio program has arranged for support facilities in the school system in order to produce annual reports, an NYC newspaper, various brochures, and emblems used in recruitment and orientation. In addition to these, the program has also developed films and slide presentations which serve to publicize the mission and the accomplishments of the program in the community.

## E. Conclusions

This chapter of the final report has been devoted to a discussion of locally generated innovations in In-School NYC. In the previous sections we have described, based on a nationwide survey and subsequent sets of interviews with selected programs, program- and module-level innovations which have occurred at the local level. These descriptions indicate that despite the lack of a Federal "planned innovations" strategy, many local programs have taken the initiative to try out new approaches and activities aimed at increasing the effectiveness and the efficiency of their efforts.

In tune with the changing role of the Federal Government in youth employment programs and the recent emphasis on "local capacity building," new responsibilities for Federal and Regional manpower agencies are suggested by our analysis of local level innovations. These new responsibilities relate to encouragement, support, and guidance of innovative efforts through

- training and technical assistance (T & TA),
- elimination of programmatic, institutional, and attitudinal barriers to innovations, and
- dissemination of knowledge gained through innovations.

In this concluding section we shall elaborate on these three proposed strategies.

First, encouragement of local innovative efforts can be partially accomplished by providing T & TA to local project staff in the areas of local needs assessment and program planning techniques. This type of T & TA aims at improving local capabilities to design and implement programs tailored to meet local needs. Its sole aim, needless to say, is not to generate innovations, but to assist in development of programs addressing specific local needs.

Second, support of local innovations requires to some degree, the elimination of programmatic, institutional and attitudinal barriers to innovations. The present program guidelines of In-School NYC, for example,

are quite specific with respect to the types of employers which may be utilized, enrollee eligibility criteria, wages, number of hours, and budget structure. Universal adherence to these guidelines, obviously, limits the types of innovations which can be tried at the local level. Innovative ideas generated to solve local problems cannot be implemented unless they fall within the constraints imposed by these guidelines. For example, despite the limited availability of public sector employers in many rural areas, local programs in these areas are prohibited by the current guidelines to utilize available private sector employers offering meaningful job opportunities.

An alternative would be, as is the case under the proposed Manpower Revenue Sharing system, to make the federal program guidelines more flexible, leaving sufficient room for local innovations. Potential local program sponsors could be requested to submit proposals which document a careful appraisal of local needs, define an overall program strategy designed to meet these needs, and detail the activities planned in order to implement the proposed strategy. Such a program design system can result in a wide array of innovative strategies tailored to meet the specific needs of local communities.

Third, dissemination of information on locally generated innovations can provide valuable guidance to local program staff in the design of their own programs. Inclusion in the program guidelines of incentives for successful program performance can also motivate local program directors to seek new ways of achieving success. The "how to do it" manual developed in the course of this study provides an example of the type of information which can be communicated to local program directors on a continuing basis. Increasing the levels of funding of research and demonstration projects can also lead not only to innovations, it can, in addition, generate valuable information on the effectiveness of specific innovations.

Encouraging, supporting and guiding locally generated innovations are important elements in building local capacity to plan, implement, monitor and evaluate successful youth employment programs. Even though innovation, in and of itself, is not one of the primary goals of youth manpower programs, it is an essential ingredient in maintaining dynamism

and an environment conducive to meaningful change. As our discussions in this chapter indicate, In-School NYC, despite the lack of a concentrated Federal effort to encourage, support and guide locally-based innovations, has had its share of local innovations. It is, therefore, quite likely that with the implementation of a Federal-Regional "planned innovation strategy" new and better ways can be found to resolve the multi-faceted problems of our youth.

## CHAPTER V. A SYSTEM FOR RETRIEVAL OF INFORMATION ON INNOVATIONS IN IN-SCHOOL NYC

### A. Introduction

Like in other programs, the staff of the Neighborhood Youth Corps strive towards making constant improvements in the program. At the national, regional and local level individuals are interested in finding new and better ways of serving disadvantaged youth. This search for improvement comes at a time, more than ever before, when everything else... technology, life styles, economy, labor laws, and the attitudes and outlook of youth...is changing, necessitating efforts to keep up with and respond to these changes. Through a process change, of action and reaction, a program can be expected to better serve the needs of its clients in the most current circumstances.

One way of achieving such "dynamism" in a program like NYC is to carefully review these external changes and formulate appropriate responses or program modifications. When they are formulated at the Federal level and take the form of introducing a set of innovations, these innovations may be appropriately called "innovations from the top." An example of programmatic change which falls into this category is the introduction of optional NYC program models such as "Youth-Tutoring-Youth," "NYC Goes to Community College," or "Vocational Exploration In the Private Sector."

A second way of achieving change in a program is through studying "innovations from the bottom" and arriving at a set of strategies for improving its performance at the local level. Needless to say, this alternative requires a comprehensive survey and analysis of all locally-based innovations, with an eye towards reaching meaningful and highly replicable generalizations.

Both ways of formulating strategies based on innovations have their advantages and disadvantages. "Innovations from the top" usually tend to be:

- comprehensive and well planned,
- more policy-oriented,
- highly theoretical (less practical),
- untested,
- less detailed in design, and,
- less responsive to specific local needs.

"Innovations from the bottom," in contrast, are usually

- less comprehensive,
- less policy-oriented,
- highly practical (less theoretical),
- empirically tested ( at least in one instance),
- more detailed in design, and,
- more responsive to specific local needs.

Given the advantages and disadvantages of each, it is useful to study both methods of generating innovations in order to achieve meaningful improvements in the program. Innovations initiated at the bottom, or operational level, need to be studied for their usefulness in providing new ideas for program improvement and possible immediate replication. On the other hand, innovations from the top need to be pursued in order to supplement, redirect, and improve locally generated innovations. It is, therefore, highly appropriate that a study be made of efficient ways of retrieving information on locally-based innovations. Such a study is also very timely in light of the anticipated changes in the role of the Federal Government in administering youth employment programs. With an increased emphasis on local, instead of Federal, initiative and a high degree of programmatic flexibility, it is extremely likely that more unique and innovative approaches to youth manpower development will originate at the local level. Regular reporting and analysis of information on these innovations may point to new avenues for resolving the employability-related problems of the disadvantaged youth.

In this chapter we present our views on how the Manpower Administration can, on an ongoing basis, identify and analyze all innovations in youth manpower programs generated at the local level. This presentation starts, in the next section, with a critical assessment of the present reporting

system in In-School NYC. This is followed, in Section C, with a discussion of the essential elements of an information retrieval system. A framework for critical appraisal of alternative information system designs is also presented in this section. In Section D three alternative designs to retrieve information on locally-based innovations are presented and assessed. The final section of the chapter, Section E, is devoted to a further discussion of the elements of the recommended information retrieval system.

## B. An Overview of the Present Reporting System

We have undertaken this review of the present information reporting system basically for two reasons:

- to investigate what data, if any, on locally generated innovations is currently being reported to the Regional or National offices; and,
- to investigate the feasibility of designing an innovativeness information system that can be linked with one or more of the ongoing reporting systems.

In response to the first issue, it would not be incorrect to state that there is no present mechanism which retrieves, on a systematic basis, information on locally generated programmatic innovations. The only data sources which include, though not in a systematic manner, innovativeness information are: the original project application, the BWTP-9 Forms, and the Government Authorized Representatives (GARs). We shall now discuss each of these three data sources with respect to their usefulness, comprehensiveness and reliability as far as information on local innovations are concerned.

The project application submitted by local sponsors annually to the Manpower Administration Regional offices as part of the mandatory funding procedures includes some programmatic information on how the local sponsor intends to operate the In-School project during the following year. In general, the purpose of this document is to set forth the anticipated level of effort on the part of the applicant sponsor. Thus, data on number of enrollees, number of job-slots by title, hours of counseling, available staff size, availability of supportive services are regularly reported. However, information on how the applicant agency intends to carry out the

various activities is neither required nor reported on a regular basis. Some local programs which do report such data are in a distinct minority. Obviously, without descriptive information of this kind there is no way to conduct a systematic assessment of locally generated innovations using the project application forms.

The local sponsors of In-School NYC programs are required to submit a monthly report on Form BWTP-9, which principally documents current number of enrollees, number of terminations, new enrollees, and re-enrollees that occurred during the month. At the option of the sponsor, a narrative report may be attached to the BWTP-9. Here the sponsor is free to describe any accomplishments, problems, or special situations regarding his project. On the basis of our extensive inspection it can be stated that these narrative reports vary to the extreme from sponsor to sponsor. Nevertheless, occasional innovativeness information was reported in this manner. The problem with this source, in addition to the generally spotty participation, is that innovations are reported most frequently in the form of anecdotal success stories and lack the comprehensive description desired.

The GARs, who form the primary linkage between the Federal government and the local projects, can also be viewed as a potential source of innovativeness information on local programs. Although there is an obvious variation among GARs with regard to their knowledge of programmatic operations of In-School projects, those who have been responsible for monitoring one set of programs over several years can and do speak much more authoritatively, comprehensively and in more detail about the various activities of any given program in their sphere of operations. However, in a majority of the cases, GARs focus on administrative and fiscal matters during their monitoring visits to projects. While this may be altogether proper, we believe that most GAR's are not looking for nor are they particularly interested in innovations. Their visits to In-School projects are quite infrequent, not exceeding twice a year in most cases. Contacts between GAR's and project directors more often occur for purposes of contract modifications and other administrative matters than for programmatic monitoring. It would, therefore be fair to state that although they may potentially be regarded as a reliable information source on local

innovations, at the moment there is no possibility to carry out a systematic assessment of local innovations through interviews with the GARs.

To recapitulate, of the three present sources of information on local innovations...the original project application, the BWTP-9 Forms, and the GARs...neither one, at the present moment, can adequately and comprehensively serve the needs of the Manpower Administration to carry out ongoing assessments of local innovations.

Turning now to the second issue raised in the beginning of this section, that of designing an innovativeness information system which can be linked with one or more of the ongoing reporting systems, it is necessary to describe first the major elements of the present monitoring system in In-School NYC.

The present reporting system has been designed primarily to retrieve information on types of programs, program costs, enrollment levels, and selected characteristics of enrollees. The principal elements of the system are:

- The BWTP-24 Form
- The BWTP-25 Form
- The MA5-6A Form
- The BWTP-9 Form
- Site visits reports of GARs

We will now review these five elements.

Financial information from each sponsor is reported monthly to Regional offices via forms BWTP-24 and 25. The first mentioned form is the sponsor's invoice and contains dollar expenditure by category, while the latter form is the detailed statement of cost containing an itemized accounting of program expenditures. Neither of these documents are directly useful for gathering innovativeness information.

Personal characteristics and family income levels of In-School NYC enrollees is reported at the beginning and at the end of the school year by each program sponsor. Form MA5-6A is used for this purpose. These reports are aggregated and used to serve descriptive information needs of regional and national offices and they contain no innovativeness information.

The previously noted Form BWTP-9 is used by sponsors to report the number of current enrollees and the number of terminations, re-enrollments, and new enrollments to the Regional office on a monthly basis. At the option of the sponsor, a narrative statement may be attached to this monthly report to include those accomplishments, problems, or special situations that are felt to be of interest to the Regional office staff. While the information contained in the body of Form BWTP-9 has no merit for innovation identification, the narrative statements sometimes include descriptive data that can be useful for this purpose.

After each monitoring visit to a project, the responsible GAR documents his observations, conclusions, and recommendations in a Site Visit Report, a copy of which is kept in the sponsor's contract file. These reports are frequently limited to questions of administrative procedures and financial control and record keeping. The primary purposes of the GARs in monitoring local projects are to ensure that sound administrative and fiscal procedures are used, and that there are no problems with contractual compliance by individual sponsors. In other words most GARs are neither encouraged nor do they take the initiative to seek out and document information on innovations at the local level. Moreover, the ability of a GAR to spot an innovation is dependent on his knowledge of what might be "ordinary" as contrasted with "unordinary" or innovative. Therefore, we believe that while the "Site Visit Reports" filed by GARs sometimes include information on innovations, these reports cannot presently be used as the primary source for identification of innovations. However, the potential for tapping this source for innovativeness information is better than for any of the other elements of the present reporting system.

It is clear from the above discussion that the present reporting system concentrates on generating statistical data useful only for administrative and fiscal monitoring purposes. The present information system not only does not systematically collect information on local innovations, there is hardly any regional capacity to summarize and analyze such data even if such information were gathered. This, coupled with the fact that local programs have not been encouraged and motivated to innovate, points to an immediate need for a policy of "planned innovations" and the retrieval of information on such innovations on a systematic basis.

C. Essential Elements of an Information System

Given that the present reporting and monitoring system is not designed to retrieve information on local innovations, and given also that such information can be useful for making improvements in the In-School program, there is a need to construct a new design for efficient retrieval of this needed information. In the following section we will present and discuss three such designs. The purpose of this section, however, is to lay the conceptual groundwork for Section D. Consequently, in the following pages we present a general framework which can be utilized in developing and assessing alternative information system designs. Essential elements of information systems reviewed here are applicable to retrieval of data on innovations as well as other program characteristics.

In general, an information system develops, in response to the needs of decision makers, a set of accurate, timely, and meaningful data in order to plan, analyze, and control the activities in question and thereby contribute to better achievement of the goals of the program and/or the organization. An effective information system captures relevant data as close to its point of origin as possible and then channels it to information processing stations where it is codified, processed, summarized, analyzed and brought into a shape communicable to decision-makers. In designing an effective information system, therefore, the designer has to pay attention to providing satisfactory responses to the following set of questions:

- What data is needed?
- When is it needed?
- Who needs it?
- Where is it needed?
- In what form is it needed?
- How is it to be reported and/or collected?
- How is it to be verified?
- How is it to be coded?
- How is it to be processed and summarized?
- How is it to be analyzed?
- How can the performance of the information system be evaluated and improved/

A particular, consistent set of responses to these questions defines a particular information system. A different, but still consistent set of responses defines a different information system. What differentiates one system from another, therefore, are the structures of the components of the two systems.

The above discussion on information systems implies that prior to designing an information retrieval system, one needs to identify the essential components of such a system. This component breakdown can also serve as a framework for systematic comparison of alternative information systems.

The framework we have constructed for the present study includes the following components:

- Data Identification
- Data Reporting and Collection
- Data Verification
- Data Codification
- Data Processing and Summarization
- Data Analysis.

In the remainder of this section we shall briefly describe the purposes of each of these six components which form the basis of the descriptions of the alternative retrieval systems presented in the next section.

1. Data Identification Component

This component addresses the question of what data is to be reported and/or collected concerning local innovations. It is a vitally important component for any information system since how one collects, verifies, codes, summarizies, and analyzes data largely depends on what data are to be collected. Therefore in the design of a retrieval system the first order of business is to identify what is to be collected.

In general, the data to be collected depends upon (1) the decisions that are to be made by the relevant decision/policy makers, and (2) information required for the making of such decisions. In other words, information systems are generally designed so as to collect only the data which are required for specific decision making purposes. In the case of the present study, "relevant" decisions include, in the main, those which relate

to the types of recommendations to be made to local program sponsors concerning alternative program options. Making of such decisions, in turn, requires a comprehensive investigation of local-level innovations to identify replicable approaches and models which can be utilized in structuring and designing the alternative program options. Data identification, therefore, has to deal primarily with the determination of what innovativeness information should be collected on local programs.

2. Data Reporting and Collection

After determining what is to be collected, the next task is to arrive at how the data are to be reported and/or collected. Specific questions addressed by this component include:

- What sources should each piece of data be collected from?
- Who should gather the data from these sources?
- How should data be transmitted from the source to the collector?
- How frequently should data be reported and/or collected?

3. Data Verification Component

This component deals with the question of verifying the accuracy and reliability of data collected in the previous component. An important component of the information system, verification assures that, barring coding and processing errors, information collected through the system is sound and free from systematic error.

4. Data Codification Component

This component, which aims at assuring uniformity and comparability of data collected from various sources, becomes especially important in instances where the information collected is of a highly qualitative nature. Loosely speaking, it deals with "making sense" out of narrative descriptions of innovations so as to be able to achieve comparability across programs and program components.

5. Data Processing and Summarization Component

This component deals with the transformation of data from a coded form to a form easily interpretable by analysis staff. It involves categorization, aggregation and summarization of data, as well as investigation of the relationships between variables of interest.

6. Data Analysis Component

This component deals with the analysis and interpretation of...and drawing meaningful generalizations from...summarized data. Statistical tools may be utilized, as appropriate, in the analysis process. Conclusions drawn from data analysis generally form the basis for recommendations for further action.

We believe that the component breakdown described above can serve as a useful framework for the development of alternative designs for retrieving information on local innovations in In-School NYC. Consequently, we have utilized this component breakdown to present and assess the three alternative systems described in the following section.

## D. Alternative Information Systems - An Appraisal

During the course of the project we have carefully assessed alternative ways of achieving the purposes of each of the six components described in the previous section. This assessment resulted in the identification of three basic alternative systems. This section deals with the presentation and discussion of these three systems.

The three systems identified here vary in terms of their complexity and practicality. Even though these three systems do not exhaust all possibilities of feasible information systems, they present a representative range of alternatives.

Each system is presented by utilizing a general "outline" format, without going into the finer details of each component. In the concluding part of the section the three systems are compared in terms of a set of criteria. Design details of the system emerging from this evaluation and our recommendations concerning its installation are presented in the next section.

### 1. System I

The first alternative system we have developed is relatively uncomplicated and practical, and it can be incorporated into the present reporting and monitoring system without much difficulty. Under this system the emphasis is placed on identification and documentation of only program level innovations occurring at the local level. Implementation and operation

responsibility under this system rest primarily with the Regional Offices. Analysis and dissemination planning responsibilities lie with the National Office staff.

In the following paragraphs we present a component-by-component description of System I.

a. Data Identification.

- Only data on program-level innovations are to be collected, verified, coded, processed and analyzed. No data on module-level innovations are collected.
- At the program-level, emphasis is placed on the approach utilized, its underlying rationale and probable effectiveness.

b. Data Reporting and Collection

- Primary responsibility for collecting the innovativeness data rests with the designated "youth specialist" OPTS person at each Regional Office.
- Principal sources from which data are to be collected are the GARs.
- Implementation of this system requires training of the GARs to enhance their knowledge of programmatic matters and to familiarize them with the process of identifying program-level innovations.
- Following their round of visits to local programs GARs are to report to the OPTS person on local programs with unique and innovative approaches.
- Written reports of the GARs (1) outline the major areas of emphasis in each innovative local program, (2) describe the approach used and its rationale, and, (3) identify doubtful and/or unresolved issues and questions regarding the innovation.

c. Data Verification

- The OPTS person who collects the data from the GARs is also responsible for its verification.
- The primary verification technique to be used is a telephone interview with each of the local project directors heading up programs reported to be innovative by a GAR.

- A second verification technique is to discuss the program in question with another Regional Office staff member who is knowledgeable of the program's innovative efforts.

d. Data Codification

- Codification takes the form of a narrative summary report on each innovative project prepared by the OPTS person following verification of the reported data.
- Format of the summary report and the specific areas of content are to be determined at the National Office.
- Summary reports uniformly prepared by all regions are to be sent to the Bureau of Work Experience and Training Programs (BWTP) for processing and analysis.

e. Data Processing and Summarization

- Summary reports submitted by Regional Offices are to be reviewed initially for clarity and completeness by a designated BWTP staff person.
- Additional information on unclear or incomplete descriptions of innovations are to be obtained from regional personnel and/or project directors.
- Descriptions of all innovations are to be categorized and further summarized by type of innovation, region, size of program, type of sponsor, type of program, and type of service area.

f. Data Analysis

- Types of innovations identified previously are to be analyzed in terms of their originality, replicability and probable effectiveness, preferably by a staff of, three individuals, one each from the BWTP, the Office of Research and Demonstration, and the Office of Policy and Evaluation.
- Each member of the analysis team is to review the descriptions of innovations independently and summarize the advantages and disadvantages of each utilizing the three criteria.
- Discussions among the analysis team members are to be held to make a preliminary selection of types of innovations suitable for wide dissemination.

- Module-level "how to do it" details on initially selected innovations are to be obtained through field visits and/or telephone interviews with the respective Regional Office staff, if the innovation is viewed as warranting wide dissemination.

- Descriptive brochures and/or handbooks are to be prepared at the National Office on innovations selected for wide dissemination.

2. System II

This system, which lies inbetween System I and System III in terms of its complexity and comprehensiveness, is also highly practical. In addition to program-level innovation data, the system also generates information on module-level innovations. As in the case of System I, primary responsibilities for its implementation lie with the National and Regional Office staff. These and other features of this system are capsulized in the following several paragraphs.

a. Data Identification

- Data on program- as well as module-level innovations are to be collected, verified, coded, processed and analyzed.

- As in System I, at the program-level, emphasis is placed on the approach utilized, its underlying rationale and probable effectiveness.

- At the module-level, emphasis is placed on descriptions of innovative modular activities, specific examples and difficulties encountered.

b. Data Reporting and Collection

- Data identified above are to be collected through a mail-out survey of all project directors.

- The survey questionnaire, consisting of mostly open-ended questions, is to be designed by the National Office and administered by the Regional Offices.

- The Regional OPTS person is to have the major responsibility for fielding, collecting and follow-up of the questionnaire.

- Respondents (local project directors) are to do a self-selection and evaluation of program- and module-level innovations in their programs.

- The survey is to be conducted annually during late winter or early spring, prior to GAR visits to local programs.

c. Data Verification

- Primary responsibility for coordinating the verification effort rests with the OPTS person at each Regional Office.
- Emphasis in verification is to be placed on data reported by projects which claim higher levels of innovativeness.
- The principal verification technique to be used is personal interviews of local project staff by GARs during their monitoring visits.
- A second verification technique is to conduct telephone interviews with selected local project directors.
- Edited and verified questionnaires containing information on highly innovative projects are to be forwarded to the BWTP.

d. Data Codification

- Each program-level innovativeness description is to be coded at the National Office in terms of its originality, replicability and probable effectiveness.
- Each module-level innovation is to be coded in terms of the same criteria.
- As in System I, this judgmental rating process is to be carried out by more than one person; preferably by three individuals, one each from the BWTP, the Office of Research and Demonstration, and the Office of Policy and Evaluation.

e. Data Processing and Summarization

- Descriptive summaries of program- and module-level innovations are to be prepared by the BWTP staff.
- Summary tables showing the results of the innovativeness rating process are to be prepared.
- A typology of program-level innovations is to be developed to illustrate variations in approach and areas of emphasis.

f. Data Analysis

- Originality, replicability and probable effectiveness of each type of program-level innovation are to be reviewed by the BWTP staff.

- Summaries of module-level innovations are to be reviewed, using the same criteria, to identify those which may serve illustrative purposes in leaflets, brochures, or manuals.

- A preliminary selection is to be made of the types of program-level innovations which have the potential of becoming optional "program models" for youth employment programs.

- Additional information on the selected types of program-level innovations are to be collected through field visits and/or telephone interviews with Regional Office staff and the project directors.

- Data generated through the system are to be utilized to

  - restructure program guidelines,
  - develop alternative program model options,
  - design leaflets containing useful suggestions to local programs,
  - prepare brochures and "how to do it" guides,
  - revise existing policies for encouraging, supporting, and guiding local innovations.

3. System III

This third system is the most comprehensive of the three alternatives presented here. One of its major differences from System II is the inclusion in this system of data on project characteristics and module-level activities. System III, therefore, generates descriptive information on enrollee characteristics, enrollee needs, project structure, modular activities, etc., in addition to information on program- and module-level innovations. Primary responsibility for its implementation lies with the National Office, and the major instrument utilized is a mail-out questionnaire.

As in the case of the two previous systems, the following is a summary description of the components of this final system.

a. Data Identification

- Data on program- and module-level innovations as well as project characteristics are to be collected, verified, coded, processed and analyzed.

- As in System II, at the program-level, emphasis is placed on the approach used, its underlying rationale and probable effectiveness. At the module-level, emphasis lies with the descriptions of innovative modular activities, specific examples and difficulties encountered.

- Project characteristics data to be collected fall into the following categories:

  - enrollee characteristics and enrollee needs,
  - descriptions of project activities designed to meet the needs of enrollees,
  - staff characteristics,
  - planning, implementation, monitoring and evaluation techniques used,
  - characteristics of the service area,
  - descriptions of cooperative arrangements with other agencies, and,
  - major accomplishments.

b. Data Reporting and Collection

- Data on local projects are to be reported and collected through a mail-out survey.

- The survey instrument, consisting of a set of open-ended questions on program- and module-level innovations and a set of closed-ended questions on project characteristics, is to be designed and pretested by the National Office.

- As in System II, Regional Offices are to be responsible for the fielding, administration, and follow-up of the questionnaires.

- Respondents are to do a self-selection and evaluation of their program- and module-level innovations.

- The survey is to be conducted annually, during later winter or early spring.

c. Data Verification

- Verification responsibilities lie with the Regional Offices.

- All numeric data are to be verified through: (1) other records available at the Regional Office, and, (2) telephone interviews with local project directors.

- Verification of the innovativeness data and all non-numeric descriptions are to be carried out through GAR visits to local projects and telephone interviews, as appropriate.

- Verification effort is not to be limited only to those projects claiming higher levels of innovativeness.

- Following verification, all questionnaires are to be final-edited prior to their forwarding to the National Office.

d. Data Codification

- Each program-level and each module-level innovation is to be coded at the National Office in terms of its originality, replicability and probable effectiveness.
- All numeric and descriptive data are to be coded twice, using coding books developed at the time of questionnaire construction.
- Consistency checks are to follow the keypunching of double-coded data, corrections of coding and keypunching errors are to be completed prior to processing.

e. Data Processing and Summarization

- Electronic data processing facilities are to be utilized to obtain univariate and multivariate summary distributions of all variables.
- Descriptive summaries of program- and module-level innovations are to be prepared by the BWTP staff.
- Results of the innovativeness rating process are to be cross-tabulated with the project-related descriptive variables.
- As in System II, a typology of program-level innovations is to be developed to illustrate variations in approach and areas of emphasis.

f. Data Analysis

- A preliminary selection is to be made of the types of program-level innovations which have the potential of becoming optional "program models" for youth employment programs.
- Additional information on the selected types of program-level innovations are to be collected through field visits and/or telephone interviews.
- Summaries of module-level innovations are to be reviewed to identify those which may serve illustrative purposes in leaflets, brochures or handbooks.
- Previously tabulated descriptive data are to be analyzed in order to arrive at generalizations concerning youth employment programs.

- Comparative analyses of descriptive and innovativeness data are to be conducted to ascertain differences and similarities between programs in terms of region, type of program, type of service area, program size, type of sponsor.

- Data generated through the system to be utilized to

  - restructure program guidelines.
  - develop descriptive and comparative profiles of youth manpower programs,
  - develop alternative program model options,
  - design leaflets containing, useful suggestions to local programs,
  - prepare brochures and "how to do it" guides,
  - revise existing policies for encouraging, supporting and guiding local innovations.

4. An Assessment of the Alternative Systems

Each of the three alternative information retrieval systems outlined above are responsive to the task of this chapter. Each alternative has its relative advantages and disadvantages vis-a-vis the other two. In order to be able to recommend a particular system, we turn now to an assessment of the three alternatives by using a set of criteria selected in order to judge their relative merits.

The set of criteria set forth below were determined and defined following extensive discussions on the purposes of designing, installation, and maintaining and information system for retrieving information on innovations of local projects, and after reviewing criteria used to assess similar information systems in other studies. The selected criteria are:

- usefulness of outputs
- reliability of outputs
- cost
- practicality of installation
- practicality of implementation

The first criterion, usefulness of outputs, is probably the most important of the five mentioned. The range and variety of decisions which can be more rationally made as a result of knowledge of data retrieved through each system is at the core of this criterion. As is evident from

the described alternatives, System III generates much more useful information than Systems I and II, with System II being closer to System III than to System I.

A similar conclusion can be made regarding the reliability of outputs, the second criterion mentioned. That is, data generated through Systems II and III have greater reliability than those generated by System I. Under Systems II and III data are reported directly by the persons closest to the local project, rather than the GARs who are quite removed from the local projects.

In terms of the third criterion, cost, it is clear that System I is the least costly; an increase in cost would be encountered with the adoption of System II, and substantially greater increases in cost are associated with System III.

When the criteria of practicality of installation and practicality of implementation are applied to the three alternatives, System I is judged most desirable because of its low level of complexity and specificity. System II is rated close to System I in terms of its practicality. System III, in contrast to the first two, is judged to be only marginally practical. Our judgements on practicality rest on considerations of time and effort required for development and operation, the range of skills needed to operate the systems, and the implied degree of coordination between the system participants. Therefore, Systems I and II are the most desirable in terms of practicality.

In light of this crude assessment of the advantages and disadvantages of the three alternative systems, we believe that System II emerges as the preferred alternative. In our judgment, System II has the potential to yield useful outputs of acceptable reliability at moderate cost. In addition, it is a highly practical system to install and implement and maintain. Further, System II can be easily modified after a year of operation to approximate a more or a less complex system, as the needs of the Manpower Administration require.

In the next section we will present a more detailed description of this recommended system.

## E. The Recommended Information Retrieval System

The design we recommend for the systematic retrieval of information on innovations in In-School NYC programs has the following features:

- Data on both program-level and module-level innovations are collected.
- Data are reported by local project directors as a response to mail-out questionnaires on an annual basis.
- Verification responsibilities lie with the regional staff members who are knowledgeable of the reporting projects.
- Descriptions of innovations are coded, using a judgmental rating process, by three national office staff, in terms of (1) originality, (2) replicability, and (3) probable effectiveness.
- Data are processed and summarized to generate typologies of innovations, to the extent similarities exist.
- A selection is made of the types of program-level innovations which have the potential of becoming optional "program models" for youth employment programs. Additional information on these projects are collected, if necessary, through field visits and/or telephone interviews.
- Data generated through the retrieval system are utilized to
  - restructure program guidelines,
  - develop optional "program models,"
  - design leaflets containing useful suggestions to local programs,
  - prepare brochures and "how to do it" manuals,
  - develop training programs, and,
  - revise the existing policies for encouraging, supporting and guiding local innovations.

Some of the advantages and disadvantages of this recommended system were discussed in the last section. In this section we will expand our earlier description of System II to review the recommended tasks and activities and to clarify the roles and responsibilities of the agencies and persons involved. This discussion will be carried out under the following three headings:

- Survey Design and Instrument Development
- Fielding and Regional Coordination
- National Office Responsibilities

1. Survey Design and Instrument Development

One of the main features of the recommended system is the design and implementation of a mail-out survey to gather data on program- and module-level innovations. Responsibility for designing the survey questionnaire, developing its instructions booklet and drawing-up the fielding, follow-up and forwarding procedures lies with the National Office staff.

We visualize the questionnaire as having three sections. In the first section a set of closed-ended questions elicit information on basic characteristics of each local project. Indicators such as type of program, number of enrollees, size of service area, type of service area (urban-rural), type of sponsor, staff size, etc. can eventually assist in placing observed innovations into a comparative perspective.

The second set of questions deal with program-level innovations. Through a series of open-ended questions the respondents are asked if they view their programs as utilizing an approach that is different from those commonly used in most other programs. Examples illustrating what types of innovations might be considered a "program-level innovation" can assist the respondents in assessing their own efforts. Project directors who may feel uncertain as to the innovativeness of their program design are to be encouraged to describe their approach so that an assessment can be made at the Regional Office. The questionnaire should also instruct the respondents to describe, in as much they can, the underlying rationale of the innovative approach and to give examples, if any, indicating its potential effectiveness.

In the third section of the questionnaire the program is broken into a set of modules, and activities covered by each module are defined. The modular breakdown and the definitions developed in this study can be utilized for this purpose. Open-ended questions on each module elicit from the respondents descriptions of unique activities which they regard to be highly innovative. Examples of innovative activities and explanation of the differences between program- and module-level innovations can be helpful in clarifying, in the minds of the respondents, the type of information sought in the survey.

It is also important to note that the instructions booklet should state, clearly and precisely, the real purposes of the survey and indicate that information forwarded by local programs will not be used for purposes of evaluating their performance.

Pretesting of the questionnaire and its instructions booklet should take place in late fall so that fielding can take place during late winter and early spring. Instructions to Regional Office staff should also be prepared in the fall. Finally, since most GARs would require training in programmatic matters and specific verification techniques, a training program should be designed and implemented in the late fall or early winter.

2. Fielding and Regional Coordination

Under the recommended system, responsibilities for fielding the questionnaires, following them up, verifying the responses and editing the verified questionnaires lie with the Regional Office staff. Given the importance of these responsibilities, there is a clear need to designate one person from each Regional Office as the coordinator of all regional operations. We have previously suggested that an OPTS staff member be assigned these responsibilities. This person is to be assisted in his/her efforts by GARs who have been assigned the task of monitoring local youth manpower projects.

Following the mailing of the questionnaires and its instructions to local project directors, the OPTS person should first develop follow-up procedures based on the suggestions of the National Office. A second important task is the development of a questionnaire log-in procedure. It should be kept in mind that proper and timely follow-up and record keeping are essential for successful completion of the national innovation-seeking effort.

Based on the experience we have gained in conducting this study, it would be safe to assume that less than 10% of the project directors responding to the questionnaire would view their projects as carrying out unique and highly innovative approaches or activities. Therefore, the task of verifying and completing the innovation descriptions is not unsurmountable. Opinions of former GARs and other Regional Office staff

regarding the activities of a given local program may also prove to be highly valuable. In fact, if any local projects can be identified prior to fielding the questionnaires as potentially innovative, the OPTS person can make a special attempt to obtain responses from these programs. Since such a strategy can potentially introduce biases to the innovation review process, extreme care should be taken to assess the written responses as objectively as possible.

Scheduling difficulties which are expected to be encountered with respect to GAR visits to local projects can be overcome by completing the verification through telephone interviews with the local project directors. It should be recognized, however, that this technique is far less superior than personal contact of the GARs with the local project staff.

Verified and edited responses should be reviewed a final time at the Regional Office before they are forwarded to the National Office. Since only the responses of projects with program- or module-level innovations are to be sent to Washington, this final review should concentrate on projects initially identified as potentially innovative.

3. National Office Responsibilities

Before receiving the verified and editied innovation descriptions from the Regional Offices, the DWEP staff should develop plans for coding, summarizing, analyzing and disseminating the results of the survey.

Each description of a program- or module-level innovation is to be reviewed and coded by at least two, and preferably three, professional staff members. We have previously suggested that three coders, each representing a different area of responsibility within the Manpower Administration, could bring into the rating process different perspectives on the overall utility of the innovations being assessed. For example, the staff person from the BWEP can be joined in this effort by a second from the Office of Research and Development, and a third from the Office of Evaluation and Planning.

Rating of innovations is no easy task. In our opinion, the three criteria we have suggested, originality, replicability and probable effectiveness, are highly relevant to the overall purposes of the

information retrieval effort. They are also among the criteria most commonly used for judging programmatic innovations. Clearly, others can be added to this list based on the specific needs of the Manpower Administration.

Systematic application of these criteria to innovation descriptions requires construction of reliable measurement scales for each criterion. Our recommendation in this regard is to opt for as simple a scale as possible. Originality of an innovation, for example, could be rated as "very original," "moderately original," or "marginally original." Such simplicity, we believe, would increase interjudgmental reliability and adequately differentiate useful innovative ideas from the others.

As a final note on coding we would like to point out that the coders will have to go through some background review in order to familiarize themselves, if they are not already familiar, with what types of ideas may be regarded as original, replicable and effective in youth manpower programs.

Coding of the innovation descriptions need to be followed by the development of summaries, or "profiles," of program- and module-level innovations. In this regard, we have suggested the development of a "typology of innovations." Accordingly, program-level innovations are to be compiled into categories, based on similarities among reported innovations. In a parallel manner, innovations reported within each module are to be grouped into "innovation types."

We visualize these categorization schemes as the primary sources for determining what further action should be taken concerning the reported innovations. At the one extreme, reported innovations may turn out to be of little value for program improvements. At the other extreme, it is likely that the ideas generated in the field may suggest complete revisions of existing guidelines. The most likely outcome, however, lies between these two extremes. Some program-level innovations will probably offer promising programmatic alternatives. In such instances we recommend that additional descriptive and evaluative data be collected from the respective local projects on their innovations.

The analysis phase will probably yield many more module-level innovations than program-level innovations. If more details are required on these innovative activities, telephone interviews with respective local project directors could furnish the needed information.

As we have stated in the beginning of this chapter, we view the installation and implementation of this retrieval system as a positive step towards achieving "dynamism" in youth manpower programs. Information generated from this recommended system can be utilized in many different ways to achieve this purpose. Among these are the following:

- Existing program guidelines can be restructured as a result of insights and information gained through the analysis of program-level innovations.
- Alternative program model options can be developed and communicated to local project directors.
- Leaflets containing "useful suggestions to local programs" can be developed and disseminated periodically.
- Brochures and "how to do it" guides can be developed for the use of local programs.
- Examples of innovations and "model approaches" can be used as illustrative material in training programs.
- Existing policies for encouraging, supporting and guiding local innovations can be updated on the basis of information gained from the retrieval system.

In conclusion, we believe that the information retrieval system recommended in this chapter, if installed and implemented, can make positive and "innovative" contributions to the resolution of employment problems faced by disadvantaged youth.

## CHAPTER VI. CONCLUSIONS AND RECOMMENDATIONS

There is no simple recipe for resolving employability-related problems of disadvantaged youth. NYC, the largest of the federal youth manpower programs, has offered what probably is the most comprehensive solution to these problems. Yet, because of funding limitations, restrictions imposed by program guidelines and variations in resources available at the local level, NYC may not have been as effective as it was originally thought it would be.

NYC's program design is based on the assumption that the multi-faceted problems of disadvantaged youth require a multi-faceted approach for their solution. Optional program models developed by the Manpower Administration are all structured with this assumption in mind. Consequently, paid work experience, counseling, remediation, and other supportive services have become the main "building blocks" of alternative program designs. However, relatively little work has been done to investigate the actual emphasis placed on these areas by the local programs. More importantly, no attempts have been made to identify and document the new, innovative, and potentially replicable approaches undertaken by local programs as alternative strategies for attacking the many-sided problems of disadvantaged youth. The principal aim of the present study has been to fulfill this need.

In the preceding chapters of this report we have presented our findings with respect to the types of programmatic activities carried out by In-School NYC programs and the program- and module-level innovations generated at the local level. We have also postulated several hypotheses concerning the causes for variations in the effectiveness of youth manpower programs. Finally, we have developed and recommended a design for the establishment of a retrieval system for the regular reporting of information on innovative program models developed by local youth manpower programs. In the concluding sections of the preceding chapters we have summarized our principal findings in each of the four major study areas. Our purpose in this chapter is to translate these findings into a set of policy recommendations. The six recommendations presented below, we believe, can assist the Manpower

Administration in formulating and implementing policies designed to increase the effectiveness of local youth manpower programs.

### RECOMMENDATION 1. ELIMINATE PROGRAMMATIC AND INSTITUTIONAL BARRIERS TO LOCAL PROJECT EFFECTIVENESS

The present program guidelines of youth manpower programs, such as In-School NYC, are quite specific with respect to the types of employers which may be utilized, enrollee eligibility criteria, wages and number of allowable hours, and the budget structure. Universal adherence to these guidelines limits the extent to which local projects can structure their programs to address individual needs of the enrollees and to offer them meaningful work experience. Of particular significance to local program performance are three such restrictions:

- exclusion of private sector jobs,
- limitations on the number of hours of enrollee participation, and,
- separation of In-School and Summer NYC.

With respect to the first of these, we, like most of the project directors we interviewed, would recommend expansion of In-School NYC work sites to include private sector jobs. This can drastically improve both the number and the variety of jobs available in an area. Furthermore, opening up private sector jobs will increase the chances for matching the vocational abilities, interests and goals of an enrollee with an appropriate job. Effects of this change will probably be felt most in rural areas where limited availability of public sector employers has imposed crippling restrictions on the number of enrollees who can be served.

Our second recommendation in this general area is to allow flexibilities in the number of hours of enrollee participation. Actually, this recommendation involves a return to original program design rather than any radical change in policy. The In-School NYC program was originally designed to provide a range of enrollee participation between 8 and 15 hours per week. In practice, however, regional guidelines and fiscal limitations have restricted general enrollee program participation to a "uniform minimum number of hours" regardless of the individual needs of the student. A return to the original design would give the local programs

the flexibility to tailor their efforts to offer each enrollee a schedule which responds to his/her individual needs.

As a third recommendation we suggest that local youth manpower programs offer year-round programming. Under current NYC guidelines In-School and Summer programs are considered separate in terms of program planning and funding. In actual practice, however, In-School and Summer programs have been generally serving the same group of youth, except for those who, due to the availability of smaller funds for the In-School component, can only participate in the Summer program. Combination of In-School and Summer components of NYC under a year-round program, we believe, will reduce fiscal uncertainties, eliminate frequent contract modifications, and facilitate systematic planning and service delivery.

## RECOMMENDATION 2. UPGRADE PROGRAM MANAGEMENT SKILLS OF LOCAL PROJECT STAFF

This recommendation is based on two grounds. First, it is based on the premise that local projects should design and implement programs tailored to meet the specific local needs. This requires capabilities, on the part of the local project staff, to

- identify and assess needs and problems of individual enrollees;
- establish reasonable program goals to address the specific needs of enrollees;
- identify and assess the project and community resources which can be used in achieving the established goals;
- formulate feasible strategies for achieving the goals and objectives by using the identified available resources;
- develop short and long-term "work plans" for implementing the formulated strategies;
- implement the "work plans," monitor the process of implementation; and revise plans as necessary;
- conduct periodic evaluations of project performance; and,
- utilize evaluation findings in planning the next implementation cycle.

Second, it is based on our observation, during the field work, that the areas mentioned above were the ones which most lacked systematic and organized efforts at the local level.

We recognize that uniformly upgrading the program management skills of a sizable group of individuals with diverse backgrounds and located in all parts of the country is no easy task. However, we believe that actions taken in this area will probably have the most marked effects on local program performance. The suggestions we can offer are the following:

- conduct training programs on program management techniques;
- develop informative guides on needs assessment, planning, implementation, monitoring and evaluation;
- develop "program performance standards" for youth manpower programs and communicate them to local areas;
- increase funding levels to allow staff development in these areas;
- upgrade program management skills of Regional Office staff who have frequent contacts with local projects;
- provide incentives and rewards for particularly successful program performance.

RECOMMENDATION 3. TRAIN REGIONAL OFFICE STAFF ON PROGRAMMATIC MATTERS

We have three specific reasons for making this recommendation. First, we have observed during our field work and the prior and subsequent visits to the Regional Offices that monitoring of local programs' performance conducted by the GARs were directed primarily to administrative and fiscal matters. De-emphasis of programmatic monitoring seemed to be a result of (1) a lack of knowledge, on the part of most GARs, of programmatic aspects of youth manpower programs, and, (2) a lack of local program performance standards which can be utilized in programmatic monitoring. Second, installation and implementation of the information retrieval system we have recommended in Chapter V calls for a substantial degree of involvement from GARs in the assessment and verification of the programmatic innovations of local programs. Third, future T & TA to be provided to the local programs may require the involvement of GARs...who have the most frequent contacts with local project staff...in training or otherwise assisting the local programs in programmatic matters.

Other than recognizing the need for training selected Regional Office staff in matters relating to program design and implementation, we have not identified specific areas and topics of training. Obviously, the

training needs of one Regional Office staff person will be different from another. Therefore, instead of speculating on potential areas of training, we would suggest that the Manpower Administration undertake a "training needs assessment" effort and follow it up with an appropriate training plan after the presently uncertain issues concerning Manpower Revenue Sharing and the National/Regional Office role in T & TA have been settled.

RECOMMENDATION 4. STIMULATE JOINT LOCAL EFFORTS

In Chapter III of this report we postulated and discussed a conceptual model explaining the variations in the successfulness of youth manpower programs. The principal assertion of this model is that, unless all five of the so called "success factors"...ability, motivation, knowledge, work experience and personal circumstances...are addressed simultaneously, it is not likely that a local program can positively effect, in any substantial degree, the employability and the drop-out potential of its enrollees. The rationale for this recommendation stems basically from this assertion.

If we can paraphrase the assertion, employability and drop-out potential of an In-School youth are hypothesized to be a joint function of activities designed to:

- increase his educational and vocational skills,
- increase his motivation to remain in school and get a job afterwards,
- increase his knowledge of
  - work habits, norms and work-related attitudes
  - importance attached to a high school diploma
  - career alternatives
  - post-secondary educational opportunities
  - how the "system" works and how one can know of and utilize the services it provides,
- provide him with a meaningful work experience and work history,
- alleviate his inhibiting personal circumstances, such as
  - lack of transportation
  - health problems
  - problems with illegal drugs
  - juvenile or criminal records
  - lack of day care for children.

If the past funding levels of youth manpower programs are any indication, NYC or other similar programs do not have the resources required to carry out activities designed to address all of the above factors. If local programs are to implement a strategy based on the rationale of this model, they have to, as many of them have been doing in the past, rely on other community agencies to ensure that enrollees receive the assistance that is vital to their future well-being. Furthermore, even if local programs had sufficient resources, certain activities, such as vocational skill training, remedial education and some supportive services, are of such specialized nature that youth manpower programs would still have to rely on other agencies to provide these services. What the causal model developed here points out, therefore, is that there has to be a balance among activities designed to address enrollee abilities, motivation, knowledge, work experience, and personal circumstances. Local youth manpower programs utilizing the strategy implied by his model should, therefore, individually determine which of the activities can be undertaken directly by their program and which ones require a well-planned coordinated effort on the part of the local project staff to ensure indirect provision of the remaining services by other community agencies.

How can the staff of a local project receive the cooperation and assistance they need from the institutions, agencies and businesses in their community? We have no simple answers to this question. If the experiences of projects which have achieved success in this area are any indication, inclusion of any or all of the following suggestions in communications to local programs may prove to be helpful:

- Develop a "resource file" of all established and potential community linkages.
- Carefully assess the areas where assistance is required from other agencies.
- Plan, implement, monitor and evaluate your joint local efforts as you would any other activity.
- Take advantage of any contacts and credibility the program's parent agency may offer.
- Provide reciprocal services whenever possible.
- Build a coalition of service agencies; minimize duplication of services.

- Keep up with your contacts, even at times when you don't need their assistance.
- Undertake periodic public relations activities; utilize the communications media effectively.
- Attend community meetings; publicize the program's benefits.

### RECOMMENDATION 5. SUPPORT ACTIVITIES DESIGNED TO INCREASE ENROLLEE MOTIVATION AND KNOWLEDGE

In studying the relative emphasis placed by local programs on each of the previously mentioned five "success factors," it became evident that very few local programs...even among those deemed as the most successful... adequately addressed all five of the factors. The least amount of effort, by and large, was directed towards increasing motivation levels of enrollees. "Knowledge" was the next least emphasized factor. Therefore, we believe that there is a greater need to increase the levels of emphases placed by local programs on these two factors than the other three.

Activities designed to address the motivation factor should concentrate on

- raising the youth's self-concept by positive feedback;
- helping youth clarify, reassess, and recognize their personal goals and the rewards associated with them;
- training youth in the areas of personal goal-audit and personal management-by-objectives;
- helping youth identify and recognize the extrinsic and intrinsic rewards associated with staying in school and finding and maintaining a good job;
- breaking the "failure syndrome" by having youth experience success in work and academic situations.

Our recommendation with respect to motivation, therefore, is encouragement of local programs to shift the major thrust of their counseling and guidance activities from ad-hoc problem-solving to these and similar areas.

With respect to knowledge, we recommend that an increased emphasis be placed on the following three areas:

- career alternatives and opportunities,
- the "how to" of finding a job,
- how the "system" works and how one can know of and utilize the services it provides.

Techniques such as formal and informal training, individual and group counseling, orientation, role-play, and practice can be used, as appropriate, to increase the knowledge levels of the enrollees in these under-emphasized areas.

### RECOMMENDATION 6. ENCOURAGE, SUPPORT AND GUIDE LOCAL INNOVATIONS

Findings we have reported in the preceding chapters indicate that, despite the lack of a Federal "planned innovations" strategy, many local programs have taken the initiative to try out new approaches and activities which, if studied and replicated, may lead to substantial improvements in program effectiveness. With the possibilities for great flexibilities in program design under Manpower Revenue Sharing, chances for local innovations are more than likely to increase. The system we have recommended in Chapter V is designed to ensure periodic and accurate retrieval of information on these innovations. Ideas, insights and information gained from the installation of this system can be utilized in many alternative ways. Among these are the following:

- Existing program guidelines can be restructured.
- Alternative program model options can be developed and communicated to local project directors.
- Leaflets containing "useful suggestions to local programs" can be developed and disseminated periodically.
- Brochures and "how to do it" guides can be developed for the use of local programs.
- Examples of innovations and "model approaches" can be used as illustrative material in training programs.

How can the Manpower Administration encourage, support and guide local innovations? We believe the following suggestions provide answers to this key question:

- Provide incentives and rewards for innovations which may lead to improved program performance.
- Encourage and support program designs tailored to meet local needs.
- Eliminate programmatic and institutional barriers to innovations (cf., Recommendation 1.).

- Identify and catalogue local innovations and disseminate findings.
- Provide T & TA to local programs on the potential effectiveness of innovative program designs prior to their implementation.
- Study innovations in other programs and evaluate their potential replicability in youth manpower programs.